MARCH, 1986

MANAGING HUMAN RESOURCES
IN THE
ONTARIO PUBLIC SERVICE

A REVIEW COMMISSIONED BY THE HONOURABLE ELINOR CAPLAN
CHAIRMAN, MANAGEMENT BOARD OF CABINET
GOVERNMENT OF ONTARIO

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This report presents findings and recommendations arising from a review conducted by W.P. Moher, Manager, Executive Development and Organization, Imperial Oil Limited, with the assistance of R. A. Beatty of the Management Board Secretariat. Mr. Moher's services were made available to the Government by A. R. Haynes, Chairman, President and Chief Executive Officer of Imperial Oil Limited. Mr. Beatty was assigned to the project by the Management Board of Cabinet.

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EXECUTIVE SUMMARY

The report presents an analysis of current issues in human resource management and opportunities for better use of human resources as identified by senior managers across the Ontario Public Service. The role and responsibilities of the Civil Service Commission are examined in this context. Recommendations are presented for changes in structure and operations which are designed to improve the management of human resources in the Public Service.

Five principles form the basis for the structure recommended:

1) The Government must direct the management of its employees and the terms and conditions of their employment.

2) The Government must ensure that the merit principle is applied consistently and effectively.

3) Deputy Ministers and senior managers must take the lead in developing human resource strategies, policies, and practices.

4) The Civil Service Commission must be separate and distinct from the staff group responsible for policy development and coordination.

5) The Secretary of Cabinet bears a responsibility to the Premier to support the Premier in the corporate management of Deputy Ministers and senior managers at levels 4 and 5 of the Executive Compensation Plan (ECP).

The Civil Service Commission will continue to have a role in fulfilling requirements for the employment of government personnel under The Public Service Act. It is however, recommended that, where appropriate and to the extent permitted by the Act, the Commission's authority in certain areas be delegated to Deputy Ministers.

It is proposed that a Human Resource Secretariat be established under the direction of a Deputy Minister, Human Resources reporting to the Chairman of Management Board. The Secretariat would perform the lead staff role in policy formulation, strategic planning and the shaping of employment conditions and practices for the Public Service.

An Executive Development Committee, comprised of Deputy Ministers, is proposed as the focus for executive appointments, leadership, development, succession planning and compensation. This committee would be chaired by the Secretary of Cabinet.

An Advisory Council on Executive Resources, comprised of executives from the private sector, is proposed to advise the Premier on compensation and succession planning for Deputy Ministers in the Ontario Public Service. This council and the Executive Development Committee would receive support from an Associate Secretary of Cabinet for Executive Resources. The Associate Secretary's office would provide policy development expertise and operational support in matters affecting executives and Deputy Ministers.

In addition to these important structural changes, improvements are required in human resource management practices. Prototypes have been developed for application at the executive level in each of the following areas: compensation, development and succession planning, performance assessment, severance and pensions.

Acceptance of the proposed reorganization together with the recommended operational improvements would:

1) create an employment climate in which excellence is valued and rewarded;

2) obtain better value for money by including line managers in the processes that determine employment conditions and policies;

3) encourage sound management practices through meaningful performance appraisal;

4) increase the effectiveness of Deputy Ministers through further decentralization of authority, clarification of roles, and strengthening of corporate responsibilities related to the management of human resources;

5) improve the Government's ability to retain high quality staff;

6) permit the Government to attract skilled staff at senior levels without creating inequities;

7) ensure timely, planned development and succession of qualified staff for executive positions;

8) create a line management focus for human resource policy review and approval, separate and distinct from the staff responsibility for policy development;

9) redress inequities in executive compensation; and

10) provide credible external scrutiny of executive compensation and succession planning for Deputy Ministers.

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1 BACKGROUND

The Honourable Elinor Caplan, in her capacity as Chairman of Management Board of Cabinet, commissioned this review in October 1985. She stated that the Government of Ontario must be forward-thinking in its approach to human resource management. Policies and procedures within the Ontario Public Service (OPS) must support an effective and committed workforce that is able to deliver programs and services efficiently to the public.

The terms of reference for the review (reproduced in full in Appendix A) specify five areas for examination:

1 corporate role and responsibilities for human resources management;

2 the responsibility of the Civil Service Commission to preserve and protect the merit principle;

3 the role of Deputy Ministers;

4 the efficacy of key policies and practices in human resource management; and

5 the appropriateness of existing legislation.

The following assumptions determined the study approach:

1 Managers in the Ontario Public Service are in the best position to identify problems and opportunities related to human resource management.

2 Input should be obtained from all Ministries and other key stakeholders.

3 The perspective of a human resources professional outside the OPS is required.

4 Recent initiatives in human resources management should be taken into consideration.

5 The review should be completed within three months.

A Steering Committee was established to provide advice and direction during the review process. The members of the Committee were

David Hobbs (Chairman), Deputy Minister, Ministry of Transportation and Communications;

Ethel McLellan, Chairman, Civil Service Commission;

Neil Paget, Director, The Canada Consulting Group Inc.;

Dr. George Podrebarac, Deputy Minister, Ministry of Education; and

John Sloan, Secretary, Management Board of Cabinet.

The review itself drew on two primary sources of information: interviews with senior Public Service managers, including all Deputy Ministers, and other key stakeholders in human resource management; and more than 100 reports, some published and some internal documents, covering a wide range of related topics. Recommendations for change were developed in the context of the existing legislative and administrative framework for managing human resources in the OPS (see Appendix B for a description of this framework).

This report is divided into four main sections. Section 2 sets out the findings of the review, focusing on issues of concern to senior managers and other key stakeholders and identifying opportunities for improvement in seven critical areas. Sections 3 and 4 present specific recommendations for change in the structure for human resource management and in certain terms and conditions of employment applicable to OPS executives.

2 ISSUES OF CONCERN AND OPPORTUNITIES FOR IMPROVEMENT

This section presents the findings of the review. They are based on observations and comments collected in interviews with about 100 people, and on a thorough examination of more than 100 reports and other documents. Given the terms of reference for the study, the findings focus on perceived concerns and opportunities for improvement; they do not include discussion of the many excellent policies, programs and practices already in existence in the OPS.

It is evident that improvements are necessary in seven broad areas of human resource management:

1) the basic framework for managing human resources under the authority of the Civil Service Commission;

2) Ministry operations;

3) recruitment;

4) career development and succession planning;

5) pay, classification and benefits

6) performance appraisal; and

7) staff-management relations.

The findings presented in this section provide the rationale for the recommendations set out in sections 3 and 4. The recommendations do not, however, address every concern or opportunity identified in the course of the review. Some matters fall beyond the terms of reference of the study; nevertheless, they are mentioned in this report because they ought to be addressed under the proposed new structure.

The Civil Service Commission: Structure, Staffing and Strategies

Organization

The following concerns were expressed regarding the structure of the Commission:

- Some believe that the Commission should report directly to the Legislature rather than to the Government through a Minister (in the Federal Government, the Chairman of the Public Service Commission reports directly to Parliament through the Speaker). The former reporting relationship would better support the Commission's responsibility to protect and preserve the merit principle in the OPS.

- In private sector organizations, it is rare to find the central human resources policy operation reporting to or through the treasurer/comptroller. The Commission's reporting relationship to the Chairman of Management Board and through the Board itself is, in effect, this type of arrangement.

- Under the existing organization structure, executive classification is the responsibility of Commission staff and executive position creation/adjustment is assigned to staff of the Management Board Secretariat. This splitting of related responsibilities appears to be arbitrary, and it may have the effect of interfering with the best management of executive resources.

- Some individuals object to the "Commission" designation, because they believe that the Government's corporate personnel policy office should be part of a Ministry structure rather than a separate entity.

Staffing issues are summarized as follows:

- Approximately 35% of the Commission's staff are involved in functions that are not central to the Commission's mandate.

- It is generally agreed that the labour relations operations of the Commission are understaffed. A related concern is that managers understanding of collective agreement issues and changes could be improved with better communications concerning labour relations.

- There is little movement of personnel staff to positions outside the personnel community, partly because these staff often lack the line experience sought in candidates for most Ministry jobs. Although long employment in one organization and one functional area, builds up a bank of experience which can become a valuable asset to the organization, it is also true that the injection of new staff is a stimulus to innovation and improvement. The Commission could benefit from more frequent turnover among its staff.

- Ministry managers expressed a desire to have access to specialists who can advise them on structuring their organization and staffing special projects. This capability is currently not provided by the Commission.

- Within the Civil Service Commission, commissioners generally do not derive much satisfaction from their work. They deal mainly with routine matters, especially severance arrangements, which are governed by the provisions of The Public Service Act.

Orientation

The Commission is not universally perceived by managers to be supportive of management efforts to make better use of human resources. Its orientation has leaned toward the "control" end of the "service-control spectrum".

- Managers would like to be consulted on policy development for human resource management. They also need to be kept informed of matters under consideration and decisions taken.

- Greater flexibility is required in applying and modifying classification standards.

- Strong initiatives are called for to deal with a number of key issues affecting Public Service employees -- for example, smoking in the workplace, day care, equal pay, occupational health and safety, and technological change. Although the importance of these issues is generally acknowledged, the Commission has not provided the leadership expected of it in dealing with the concerns of managers and other employees.

Policy

The single greatest concern of line managers about human resource policies set by the Commission is that there is little flexibility to deal effectively with people. Specifically, there is a need to provide increased opportunities to reward excellence, develop potential and confront problem performance in a constructive and effective way.

Other concerns include:

- o a perceived preoccupation with financial considerations in the formulation of human resource policies; and
- o the predominance of the arbitration/grievance process in focusing the direction of Commission policies.

Strategic Priorities and Planning

During the past fifteen months, staff of the Commission have completed a strategic planning exercise. This exercise has produced some valuable options for future management of human resources. It has not, apparently, addressed certain concerns identified by Ministry managers:

- o The Commission generally has not communicated to managers the strategic direction and leadership it is providing in human resource management. A case in point is the strategic planning exercise referred to above: by and large, Ministries have been unaware of this effort, and managers have not been consulted for their views on needs and opportunities.
- o The Commission is perceived to be not sufficiently responsive to Ministry requests and priorities. The Commission's operational plans are viewed as being divorced from managers' main concerns.
- o Some interviewees suggest that the Commission is preoccupied with its role in arbitration and grievance management, at the cost of strategic policy and program development.

Conclusion

The present framework for human resource management is not well designed to meet the needs of the Public Service. Although the Civil Service Commission is effective in some areas of responsibility, priorities identified by Ministries are often not addressed. It appears that a new structure is required to provide direction for improved use of human resources in the OPS.

Ministry Operations

Human Resource Operations

The review disclosed several opportunities for improvement in human resource operations within Ministries:

- In some Ministries, human resources management has become largely synonymous with personnel administration. Personnel/human resources directors are typically at the bottom of the executive ladder and are seen as filling career positions. Staff within personnel branches generally have little or no line experience in program delivery and seldom have the opportunity to acquire that experience through their work. Some personnel functions, notably classification, are viewed as controlled from the Commission.

- Financial cutbacks have eroded the staff strength of some personnel branches, causing development/innovation activities to be dropped in favour of maintaining core personnel functions. This may help to explain why, in certain organizations, the scope of human resources management is not well communicated, and why opportunities in this area have not been pursued.

- The responsibility for policy interpretation and decisions within personnel branches is not always clear. Consequently, managers are sometimes uncertain as to where the authority rests to amend a decision or policy.

- In the area of labour-management issues, there is a need for improved communication. For example, staff of bargaining units regularly learn of decisions affecting their work environment from union sources rather than from managers; and managers frequently learn of adjustments from their employees, rather than from the support functions that are intended to serve management.

Deputy Minister Authority

The role of Deputy Ministers in human resource management needs to be clearly defined:

- Most Deputies do not participate in the development of corporate policies, programs and negotiating positions, even though these matters have an enormous impact on their staff and the ability of Ministries to deliver programs. Deputies also are often unaware of items being considered by the Civil Service Commission or the Senior Appointments Advisory Committee (SAAC). There are no structural mechanisms in place to encourage and make use of their participation in these process.

- Deputies have considerable power and authority to determine policy and practice in the area of human resource management, but the scope of their potential influence is not always understood.

- Some Deputies have expressed concern that their hands are tied by collective agreements and corporate rules. Others, however, do not share this view.

- Notwithstanding the scope of a Deputy's authority, certain limitations exist which are of concern to some Deputies. In particular, Deputy Ministers cannot authorize severance payments; nor can they, with certainty, release even employees excluded from bargaining with cause, because third-party tribunals have the power to reinstate employees who appeal dismissal.

Role of the Manager

There are numerous ways of improving the management of human resources through clarification and realignment of the manager's role:

- Managerial authority/responsibility for human resource management practices should be expanded and clearly defined. At present, there is considerable uncertainty as to the delegation of authority in this area and the expectations of executives at higher levels. As well, some responsibilities are shared (for example, those related to appointments, grievances, classification, sanctions and development), and often decisions on such matters are beyond the manager's direct control.

- Salary differentials frequently result in the loss of key people to other employers, and managers have no means at their disposal to prevent such loss. A related concern is the inability of managers to provide appropriate rewards for exemplary performance.

- Managers themselves should receive greater encouragement to deal effectively with problems of poor performance and inefficient organization.

- Managers also should be encouraged to become involved in labour relations.

The factors restricting the manager's role are sufficiently strong that in some cases, understandably, managers place little priority on the effective management and development of people.

Conclusion

Ministry operations should be refocused to emphasize the management of human resources in the Public Service, rather than personnel administration alone. To this end, responsibilities of managers at all levels, including Deputy Ministers, need to be clearly defined and communicated. Managers, including Deputies, also need to become more closely involved in matters affecting their staff, from the classification of jobs and conditions of employment to the improvement of the work environment. At the Deputy level, involvement should extend to participation in the development of corporate policies and practices for human resource management across the Public Service.

Recruitment

Executive Recruitment

Approximately 625 individuals are in the Executive and Deputy Minister Compensation Plans. There are also about 150 executive-equivalent positions in the various agencies, boards and commissions reporting through Ministries. The people in these positions comprise the leadership group in the OPS. Individuals in the Management Compensation Plan, of whom there are about 12,000, constitute the major "feeder group" for the executive categories.

The Management Board of Cabinet, on the advice of the Management Board Secretariat, approves the executives position structure of each Ministry and controls the creation, deletion and titles of executive positions. Recently, the authority to select titles and to make minor adjustments to the executive structure has been delegated to Deputy Ministers.

Significant reorganizations of executive responsibilities are normally reviewed by the Senior Appointments Advisory Committee before being placed before the Management Board. The advice of the SAAC is also sought regarding candidates for and appointments to Executive Compensation Plan levels 4 and 5 (Executive Co-ordinators, Executive Directors and Assistant Deputy Ministers).

Executive appointments are made by the Lieutenant Governor in Council (the Cabinet) on the recommendation of the Chairman of the Civil Service Commission. The Commission's Chairman also announces all executives appointments. Deputy Ministers have the statutory authority to recommend specific candidates for appointment to executive positions, and the Commission is required under the Public Service Act to process such recommendations. As noted above, however, current "policy" requires the SAAC to advise on preferred candidates for the ECP 4 and 5 levels. In 1984-85, there were 104 appointments to executive positions in the OPS.

The following concerns have been expressed about the executive recruitment process:

- While the large majority of appointments are filled through processes other than competitive recruitment, succession planning is not sufficiently developed to ensure that the most suitable candidates are being consistently selected. In 1984-85, only one vacancy in four was filled by competition; most other appointments were made by the provision of waiver for developmental purposes or rotational assignment. Typically, non-competitive appointments involve candidates from within the organization in which the vacancy occurs.

- In situations where competitions have been held, candidate selection is often conducted without advertising or posting vacancies. In 1984-85, twenty-seven executive "competitions" took place; nine were restricted to applicants from within the Public Service.

- Candidates for competitions at the ECP 1 to 3 levels have typically been selected from candidate lists provided by the Senior Appointments and Compensation Office of the Civil Service Commission. Individuals on the lists who are considered but not selected for interviews are not informed of their potential candidacy. Individuals who are not on the Commissions's Senior Manpower Inventory are overlooked by this process, and individuals who may have a specific interest in a particular position may not be considered. Appeals in respect of the executive appointment process are not permitted (in contrast to bargaining unit grievance procedures in relation to promotions). Furthermore, some competitions are regarded as formalities that merely ratify a selection already made by the executive responsible for filling the position.

From an objective point of view, the existing process for executive recruitment needs to be improved in a number of ways:

- The best candidates for positions may not have access to the appointment process. This is especially the case, of course, where no competition is held, but it is also true of situations in which candidates are selected from listings prepared by Commission staff. Even Commission professionals cannot take into account the skills and competency of the 600 executive and 1200 non-executive personnel listed on the Senior Manpower Inventory.

- The Senior Manpower Inventory itself has several limitations. Not all Ministries support and participate in the maintenance of the inventory; and if a Ministry does not participate, non executive staff will not be listed. In addition, some of the information in the inventory is sadly out of date; therefore, it does not provide an adequate basis for selecting candidates. A strong succession planning system could compensate for certain of these shortcomings. No such system exists at the corporate level; however, some Ministries have begun to develop succession plans.

- Deputy Ministers and senior executives in organizations where vacancies occur do not have access to the full list of potential candidates; only individuals identified by Commission staff, or known to the Deputy or executive involved, receive consideration. The existing process places a sponsorship role on staff of the Commission which might better rest with line managers.

- Deputy Ministers as a group do not control or monitor executive placement at the ECP 1 to 3 levels. Those deputies who are members of the Senior Appointments Advisory Committee can exert some influence in appointments at the ECP 4 and 5 levels, through the advisory function of the SAAC; however, the role of the SAAC in the process is not clearly understood and accepted by all Deputies.

- The Commission's role in identifying candidates for executive placements may be compromised to some degree by the involvement of Commission staff in placing executives who have been declared surplus as a result of reorganization. Because reorganization is widely used as a means of dealing with performance problems, some managers perceive that a significant percentage of candidates for appointments are individuals whose past performance has not been exemplary.

- The performance record of candidates is not given sufficient weight in the existing selection process.

  Instead, interviews are a primary determinant of executive appointments. In part, this approach results from the lack of adequate information on past performance or from the unavailability of such information to the people involved in screening candidates. As well, interviews themselves may not be free from bias, particularly in those cases where the interviewers have worked with a candidate over a number of years.

Two other concerns arise from fragmentation of the appointments system:

- The Women's Directorate has established an inventory of high-potential women in the OPS, which is quite separate from identification mechanisms and processes used by Commission staff. Some managers are relying on the Directorate as an alternative source of potential candidates for competitions.

- The executive appointment process for the Government's agencies, boards and commissions is separate from the Senior Manpower Inventory and the appointment process used for Ministries. Integration of the process across the Public Service would broaden the candidate base, expand career horizons for OPS executives, and generally improve the use of executive resources in the Public Service.

Non-Executive Recruitment

Procedures for recruitment of non-executive staff vary. For staff in the bargaining unit, under the provisions of the collective agreement, all positions must be posted or advertised and must be open to candidates across the OPS. Waivers or appointments without competition are not permitted, and grievances regarding appointments are allowed. In the management and excluded categories, competitions may be waived in certain circumstances; and where competitions take place, they are often not open to applicants across the Public Service. Recruitment for positions in the bargaining, management and excluded categories has been delegated by the Commission to Deputy Ministers. Deputies and Ministers also have authority to recruit staff for unclassified positions (used primarily to staff projects of a non-recurring nature and to retain personal staff for Ministers).

The following concerns emerged from the review:

- Existing recruitment procedures unduly limit the candidates base for management and excluded positions. In the first quarter of 1985, for example, 65% of all competitions were advertised only within the Ministry in which the vacancy occurred; approximately 30% were advertised in Topical/Job Mart; 4% were advertised in newspapers and trade journals. Area of search provisions also can restrict access to positions on the basis of geography.

- Financial cutbacks and staff reduction initiatives have led to a sharp drop in the recruitment of young people into the OPS in recent years. The present age imbalance in the Public Service will have serious repercussions in future years as positions occupied by older staff fall vacant. In the meantime, Government organizations are losing the benefits of employing talented young people with new ideas, energy, and up-to-date skills.

- Since the mid-1970s, there has been a large increase in the number of staff declared surplus. In part, this is the result of a policy of staff reduction. It is widely believed, however, that reorganizations have been initiated, not simply to reduce staff, but rather to remove individuals who are performing poorly. This view has created a negative attitude toward the hiring of surplus staff in many organizations.

- Some positions that might be elimated when they fall vacant are nevertheless filled by replacement staff. There are a number of reasons: managers may be reluctant to give other staff additional responsibilities or to undertake a major reorganization, or they may not wish to disappoint employees who aspire to a particular position. Essentially, however, the problem is that managers have little incentive to reduce their staff requirements.

- Within organizations, vacancies are sometimes filled by transferring staff in other positions who are poor performers. This way of dealing with performance problems is clearly unsatisfactory for all concerned. Managers need guidance and support in resolving these problems to the benefit of the organization and the individuals involved.

- In recent years, as a matter of practice, many OPS vacancies have not been open to candidates outside the OPS. Although this practice has supported reduction of the Public Service through attrition and has encouraged managers to develop existing staff, it must be asked what costs are incurred through the restriction of recruitment to a narrower candidate base.

Deputy Minister Position

Deputy Ministers are normally appointed to their position for a three-year period, by order-in-council on the recommendation of the Premier. (These are "at pleasure" appointments in the OPS.) Most Deputies are selected from within the Public Service, but appointments from other jurisdictions and sectors also are regarded as reasonable and appropriate.

There are several opportunities for improving the management of Deputy appointments:

- In the past, Deputies have had very little notice of their appointments. In effect, they have been expected to take up their new responsibilities immediately. When a Deputy is assigned to a new portfolio, as often occurs, the transfer takes place without preparation; the Deputy has no opportunity to become acquainted with the portfolio before actually moving into the position. Given the importance of a Deputy's role and authority, these arrangements are less

than adequate. Appointments should be planned to provide Deputies with a reasonable interval during which they can study the nature and scope of the portfolio, become familiar with the organization, and establish the foundation of their working relationship with key staff.

- Although the position of Deputy Minister is the career goal of many senior managers, there are no mechanisms in place for systematically developing individuals to assume specific Deputy posts.

- There is no office of government that performs career planning and management for Deputies.

- Deputy Ministers should be subject to formal performance appraisals. Such appraisals have not been conducted in recent years.

Conclusion

The executive recruitment process needs to be redesigned to ensure that appointments are made on the basis of a comprehensive search and a fair and thorough assessment of candidates. Deputy Ministers and senior executives should perform a corporate role in executive appointments, as part of a broader involvement in human resource management across the OPS. An opportunity exists to enhance linkage of selection and appointment processes for government agencies, boards and commissions with that of the Ministry structure.

Recruitment of staff to non-executive positions also needs to be refined. Again, procedures should be shaped by a broad, long-range view of the staffing requirements of the OPS. Better controls are needed to match recruitment to the actual workload of particular organizations; however, such controls must not be imposed at the cost of managers' involvement in human resource planning.

A system should be developed to provide career support to senior executives aspiring and appointed to the position of Deputy Minister. The timing of appointments needs to be adjusted to provide a reasonable period of transition, and potential candidates for Deputy appointments should be identified and developed for their future role. The performance of Deputies also needs to be systematically assessed.

Career Development and Succession Planning

Executive Level

Responsibility for the career development of OPS executives is shared among the Deputy Minister, and the executive's direct supervisor, the Civil Service Commission (the Office of Senior Appointments and Compensation and the Staff Development Section), the SAAC and the individual executive. Most development opportunities take the form of courses in classroom settings; there are no centrally coordinated experiential development programs. The Commission sponsors and funds a series of executive-level courses, beginning with a one-week corporate orientation program offered on the individual's appointment to the Executive Compensation Plan. Several large Ministries also provide their own executive development programs to supplement opportunities available through the Commission. It has not been practical for small Ministries to introduce such programs. Very few executive interchanges have taken place between the OPS and other governments or sectors.

Priority-setting for access to corporate courses within Ministries is determined by Deputy Ministers. Candidates selection among Ministries is the province of Commission staff and, in certain cases, the SAAC. Generally, individual executives play a lead role in selecting career development opportunities for themselves.

Present arrangements have some limitations:

- Central funding of programs by the Commission provides career development opportunities to a broad cross-section of executives, but it also limits the number of opportunities available to individual Ministries. This is particularly disadvantageous for small Ministries, which cannot economically develop their own programs.

- The focus on courses and conferences as career development tools tends to exclude other programs that may be equally beneficial or preferable.

Little structured succession planning occurs within Ministries and virtually none across Ministries. In other sectors, where executives have a considerable personal stake in the organization's profitability and survival, succession planning assumes a far more prominent role.

- Executives have expressed reluctance to rely solely on their Deputy Minister for career management. In part, this concern is related to the frequent turnover of Deputies in many organizations.

- There is a need for more structured succession planning, not only in individual organizations, but also across the OPS, so that executives will have the opportunity to use and develop their capabilities, and so that the Public Service can derive greater benefits from the pool of talent available to it.

Non-Executive Level

Most of the observations noted above for the executive level apply equally to non-executive staff. Again, planned development is confined mainly to attending courses and conferences. Training may be internal, sponsored by the Civil Service Commission or the Ministry of Government Services, or may be delivered by consultants or community colleges.

- Although considerable training is taking place, it has been suggested that financial restraints have curtailed activity in some areas.

- Career development through movement among Ministries tends to occur at the initiative of the individual. Managers are not perceived to play a strong role in directing the careers of staff.

- For staff in the bargaining unit, provisions of the collective agreement make it more difficult to structure development moves.

Conclusion

Opportunities exist to strengthen career development and succession planning at all levels of the Public Service. Development and training programs should be diversified, and managers (including senior executives) should assume a stronger role in guiding the development of their staff.

Pay, Classification and Benefits

Compensation

Compensation policy and practices vary in the OPS according to the categories in which employees are placed. For bargaining unit staff, salary and benefits are negotiated between the Civil Service Commission and bargaining units; pensions are not negotiable. For executives and other managers, salaries are established by the Commission for the various positions in the classification system. There is no formal mechanism to allow managers to communicate their compensation concerns and preferences and no formal external process for reviewing management salaries in a broader context.

- o With some exceptions, bargaining unit employees are considered to be compensated competitively. This is not the case with executive managers. In recent years various restrictions have been placed on salary progression toward the "job rate" or maximum, especially for management staff.

Specific issues identified in the course of the review are summarized below:

- o At the most senior levels, staff feel undervalued. Executive compensation has significantly lagged behind cost of living and other increases provided to other segments of the OPS workforce over the past ten years. (Details are provided in section 4, Exhibit 1, Executive Compensation). Salary levels also have lagged behind compensation paid in the Federal Government, various other provinces, other public sector levels in Ontario and the private sector.

- o Salary differentials have made it difficult for the OPS to attract senior administrators and professionals from external organizations and to retain highly qualified senior staff.

- o In many cases, senior public servants find themselves in the anomalous position of earning less than senior administrators in agencies through which they manage Government programs.

- o Compression is occurring within salary ranges across the OPS, reducing the incentive of non-management staff to move into management positions and for managers to assume more senior positions. In some cases, bargaining unit employees have actually started to earn more than their supervisors.

- o Pressure has been exerted on the classification system to accommodate salary problems. As a result, reclassification is becoming increasingly accepted as the means of redressing salary shortfalls.

- o Although the introduction of performance bonuses would help to remedy perceived inequities in the system of management compensation, this idea has been consistently rejected in the past by corporate managers. Until performance appraisals are rationalized and applied systematically throughout the OPS, performance bonuses do not appear to offer a satisfactory solution.

Classification System and Standards

Approximately 20% of grievances in the OPS are about classification. Weaknesses in the present system include the following:

- A significant number of position standards are out of date and imprecise. Although it can be argued that imprecision allows for a measure of flexibility, it also creates tensions and gives rise to apparent inequities.

- Classifications are assigned to positions in the Service rather than individuals. Special provisions exist to permit limited incumbent rating in the management and professional ranks. Generally however individuals who are well qualified in their field but do not manage a large budget or a large staff cannot receive salary progression over much of their careers. In effect, professionals are forced into administrative positions in order to maintain salary progression. At the same time, it is virtually impossible to attract into the OPS highly skilled professionals who are at the middle or senior stage of their career.

- In contrast to executive level positions, which have declined in number in recent years, senior administrative classifications (most of which are not corporately controlled) appear to have increased. These positions broadly overlap pay scales at the executive level.

Benefits

The benefits negotiated with the bargaining unit are normally extended to the excluded, management and executive compensation categories. Deputy Ministers have a unique pension arrangement and are entitled to leased automobiles: some financial counselling has been provided to senior executives. Otherwise, benefits are identical.

Greater freedom to select benefits suited to individual circumstances and life stage is desirable. More individualized benefits administration would eliminate present inequities based upon marital status and other factors and increase the value of benefits to employees.

OPSEU representatives and managers have expressed some concerns regarding pension benefits:

- Employees have no voice in the management of pension funds.

- Currently, pensions are not a negotiable item in the bargaining framework.

- The pension fund is not asset-based.

- Many public servants never collect a pension because they leave the OPS before their contributions are "vested". In effect, these individuals are lending their capital to the Province at a rate of return that is far below contemporary market rates.

- For senior managers, mandatory pension contributions have exceeded Revenue Canada deduction limits in recent years.

Conclusion

There is an urgent need to review and redesign the existing compensation system for executives and other OPS managers. Inequities in salary scales within the Public Service and in relation to other sectors are making it difficult to attract and retain highly qualified personnel for the most responsible positions. To the extent that compensation is seen as inadequate, individuals will not be motivated to excel in their jobs.

The classification system should be updated and restructured to provide more flexibility.

With respect to benefits, the benefits and pension programs should be reviewed to deal with the concerns of contributors.

Performance Appraisal

Performance appraisal is used by the best managers to set performance goals, communicate expectations, provide feedback on performance, assess career potential and plan career moves. It can also strengthen work relationships between managers and their staff.

As currently applied in the OPS, performance appraisal falls short of its potential in most cases. One difficulty is that there is no consistency in the form and application of the process across Ministries. It is not sponsored or conducted in a formal way by all Deputy Ministers, and the results of appraisals are not always apparent to staff.

Conclusion

Although the use of performance appraisal is regarded with skepticism by some managers, it is a valuable tool for managing human resources in any organization. Deputy Ministers should assign high priority to developing and implementing the concept throughout the OPS.

Staff-Management Relations

Approximately 80% of Public Service employees in Ontario are represented by bargaining agents. Staff of the Civil Service Commission serve as the Government's agent in contract negotiations; they are also responsible for developing the conditions of employment that affect public servants who are excluded from bargaining. The latter group includes management, supervisory and policy staff who are assigned to the Management Compensation Plan,

and employees who are excluded by job for reasons of confidentiality. Personnel in the executive category also are excluded from bargaining.

Strikes and lockouts of Ontario public servants are prohibited by statute. This prohibition has led to the creation of elaborate procedures for grievance settlement and third-party arbitration. The costs of the grievance process are not shared with bargaining agents (in contrast to practice in the private sector, under the provisions of The Labour Relations Act). Currently, some 1200 grievances are outstanding, some dating back to 1978.

Grievances arise more frequently in some organizations than in others. To a large extent, this pattern can be attributed to the nature of the work in question. Direction, representation and advice pertaining to grievances are provided to managers by staff of Ministry personnel branches and Commission staff. Direct involvement of line managers in discussions with bargaining unit representatives and in conflict mediation is limited.

Several issues came to light in the course of the review:

- An opportunity exists to improve the linkage between Ministries and the Civil Service Commission with respect to negotiations leading to collective agreements. Line managers in Ministries generally are not involved in this process. Deputy Ministers also have little involvement in developing the negotiation strategy adopted and pursued by the Commission's labour relations staff. The collective agreement that is ultimately reached is not always well understood by managers, because its provisions and implications have not been clearly explained to them; consequently, managers regularly encounter difficulties in abiding by the agreement in their dealings with staff.

- Employees who are excluded from bargaining do not have a voice in determining the conditions of their employment. One issue of concern, referred to previously, is the absence of a formal mechanism to input priorities and preferences. Another is the lack of certain security measures, such as "bumping rights" based on seniority, which are available to staff in bargaining units but not to staff in excluded categories. Several professional groups in the OPS are now asking for bargaining rights to redress perceived inequities.

- Relations between bargaining unit representatives and senior managers become strained when the union is opposed to certain policy decisions of the Government, because managers have a responsibility to support and implement those policy decisions. The mutual distrust that often results from such conflicts leads to a reluctance on both sides to share information. Poor communication is probably

the single most important cause of tension between management and staff in the bargaining unit.

- o There appears to be a greater demand for courses in labour relations sponsored by the Commission than there are resources to meet this demand. Many individuals in the Public Service who would like to participate are at present denied access to these courses.

Conclusion

Relations between managers and bargaining unit staff and representatives could be substantially improved by increased involvement of managers in the negotiation process. At a minimal level, managers should be better informed than they have been in the past about the issues under consideration and the rationale for agreement reached between negotiating groups.

3 PROPOSAL FOR CHANGE:

THE FRAMEWORK FOR MANAGING HUMAN RESOURCES

The Public Service in Ontario is in a period of transition. The operational effectiveness of the Government depends on the excellence and competency of employees at all levels and their commitment to serving the needs of the Ontario public as prescribed by the Legislature. Human resources are more critical than any other resource of Government in ensuring its utility and productivity.

The Premier of Ontario provides the leadership and sets the tone for Government as employer. Direct responsibility for translating this to policy, plans and programs for effective human resource management should reside with line management at corporate and ministry levels.

Key opportunities identified in the previous section to enhance human resources management and policy development include the following:

- Clarify responsibility for career management of Deputy Ministers and other senior staff
- Manage appointments, development and succession planning for executives at a corporate level
- Secure external advice regarding executive compensation practices and succession planning for senior levels to assess adequacy and to benefit from external perspectives
- Better integrate line managers with policy development and review processes for human resources management
- Directly place the responsibility for developing human resource policy at a corporate level within the Ministry structure of Government.

Structural adjustments will be necessary to realize these opportunities and to create an environment that will encourage achievement of other significant opportunities identified throughtout the report.

Principles of Reorganization

This proposal presents an organization design that will support excellence in managing human resources consistent with five principles:

1. The Government must direct the management of its employees and the terms and conditions of their employment.

2. The Government must ensure that the merit principle is applied consistently and effectively.

3. Deputy Ministers and senior managers must take the lead in developing human resource strategies and policies and practices.

4. The Civil Service Commission must be separate and distinct from the staff group responsible for policy development and coordination.

5. The Secretary of Cabinet bears a responsibility to the Premier to support the Premier in the corporate management of Deputy Ministers and senior managers at levels 4 and 5 of the Executive Compensation Plan.

Organization Proposal

The organization proposal that follows is based on the five principles outlined above. It provides an integrated framework for human resource management in the Ontario Public Service.

The Civil Service Commission is shown on the following chart as an organizational unit separate from Management Board as employer, reporting through a Minister to the Government. This proposal reflects the intended independent role for the Commission in monitoring and reporting on compliance with the merit principle and the Public Service Act and its intent.

Management Board of Cabinet acts as employer on behalf of the Government of Ontario.

The Human Resources Secretariat, reporting to a Deputy Minister of Human Resources, is responsible to the Chairman of the Management Board of Cabinet. The Secretariat assumes responsibility for most existing staff of the Civil Service Commission except those involved in ancillary services. It also provides corporate leadership in policy formulation, strategic planning and development of employment conditions and practices. It serves as the employer's agent in the collective bargaining process and assists Deputy Ministers in labour relations.

The Executive Development Committee provides a focus for executive leadership in the Ontario Public Service. Its Chairman, the Secretary of Cabinet, is assisted by Deputy Minister committee members in meeting the responsibility for executive development, succession planning and senior appointments and compensation.

The Associate Secretary Executive Resources provides staff support to this committee.

The Advisory Council on Executive Resources, comprised of senior executives from the private sector, provides advice and scrutiny of employment conditions, compensation and succession planning for top management in the Public Service. It reports directly to the Premier and receives staff support from the office of the Associate Secretary, Executive Resources.

Implementation of this organizational structure, together with the recommendations in the exhibits that follow, would:

1) create an employment climate in which excellence is valued and rewarded;

2) obtain better value for money by including line managers in the processes that determine employment conditions and policies;

3) encourage sound management practices through meaningful performance appraisal;

4) increase the effectiveness of Deputy Ministers through further decentralization of authority, clarification of roles, and strengthening of corporate responsibilities related to the management of human resources;

5) improve the Government's ability to retain high quality staff;

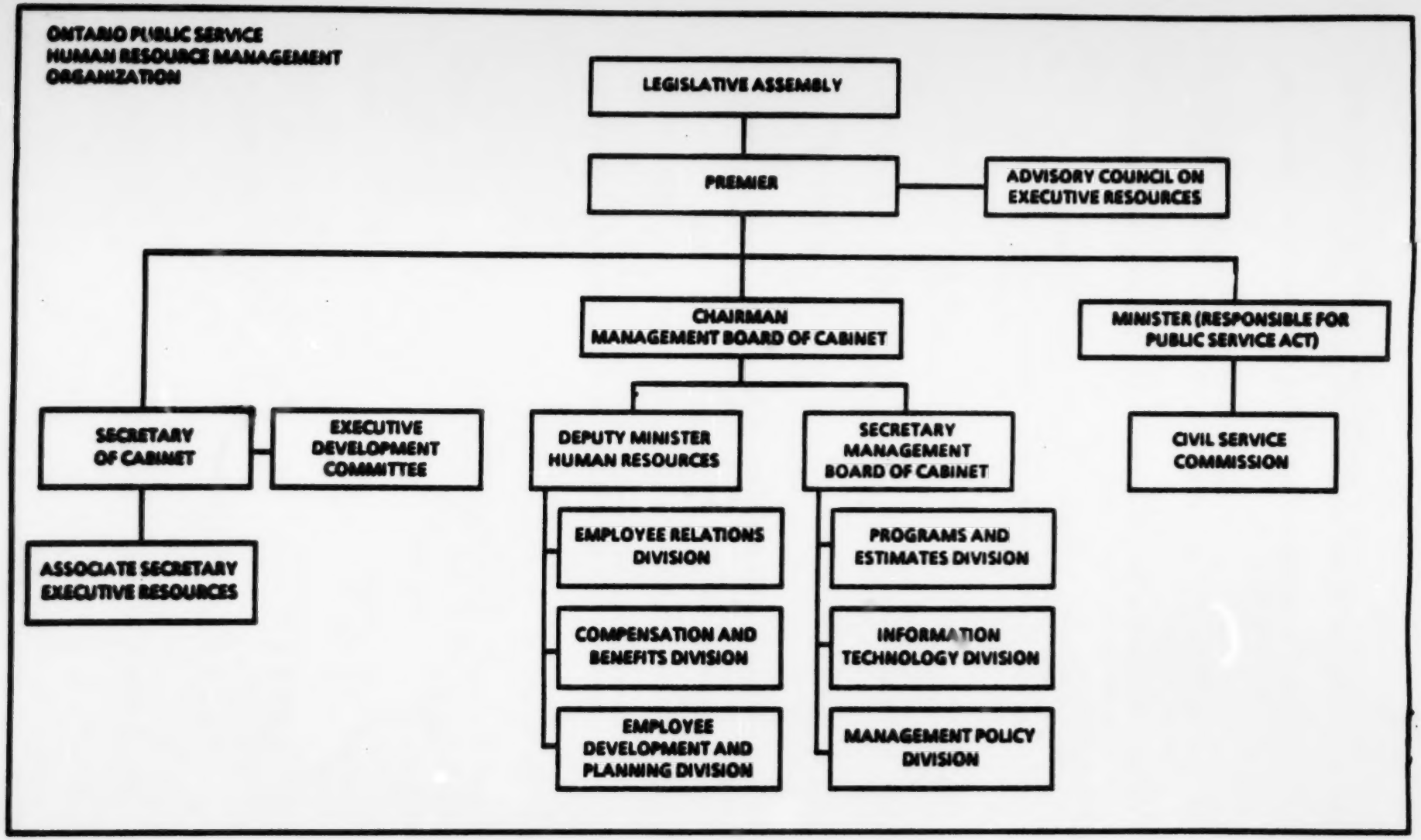
6) permit the Government to attract skilled staff at senior levels without creating inequities;

7) ensure timely, planned development and succession of qualified staff for executive positions;

8) create a line management focus for human resource policy review and approval, separate and distinct from the staff responsibility for policy development;

9) redress inequities in executive compensation; and

10) provide credible external scrutiny of executive compensation and succession planning for Deputy Ministers.


ONTARIO PUBLIC SERVICE
HUMAN RESOURCE MANAGEMENT
ORGANIZATION
LEGISLATIVE ASSEMBLY
PREMIER
ADVISORY COUNCIL ON EXECUTIVE RESOURCES
CHAIRMAN MANAGEMENT BOARD OF CABINET
MINISTER (RESPONSIBLE FOR PUBLIC SERVICE ACT)
SECRETARY OF CABINET
EXECUTIVE DEVELOPMENT COMMITTEE
DEPUTY MINISTER HUMAN RESOURCES
SECRETARY MANAGEMENT BOARD OF CABINET
CIVIL SERVICE COMMISSION
ASSOCIATE SECRETARY EXECUTIVE RESOURCES
EMPLOYEE RELATIONS DIVISION
PROGRAMS AND ESTIMATES DIVISION
COMPENSATION AND BENEFITS DIVISION
INFORMATION TECHNOLOGY DIVISION
EMPLOYEE DEVELOPMENT AND PLANNING DIVISION
MANAGEMENT POLICY DIVISION

ONTARIO PUBLIC SERVICE
HUMAN RESOURCE MANAGEMENT COMMITTEE STRUCTURE

	ADVISORY COUNCIL ON EXECUTIVE RESOURCES	EXECUTIVE DEVELOPMENT COMMITTEE	CIVIL SERVICE COMMISSION
MEMBERS	5 EXTERNAL PERSONS APPOINTED BY THE PREMIER	SECRETARY OF CABINET DEPUTY MINISTER HUMAN RESOURCES 5 OTHER DEPUTY MINISTERS SECRETARY MANAGEMENT BOARD OF CABINET	1 DEPUTY MINISTER 4 ASSISTANT DEPUTY MINISTERS 2 EXTERNAL PERSONS
ASSOCIATE MEMBERS		ALL OTHER DEPUTY MINISTERS	
CHAIRMAN	APPOINTED BY THE PREMIER FROM MEMBERS	SECRETARY OF CABINET	THE DEPUTY MINISTER
RESPONSIBILITIES:			AS SPECIFIED BY THE PUBLIC SERVICE ACT
- ORGANIZATION		ADVISES ON EXECUTIVE ORGANIZATION STRUCTURE	
- COMPENSATION	ADVISES ON PROGRAMS, SALARY RANGES, & OTHER ACTIONS FOR D.M. & ABC EQUIVALENTS	ENSORSES ECP 4/5 ACTIONS; PROPOSES SALARY AND BENEFITS PROGRAMS FOR THE ECP; MONITORS ECP 1-3 ACTIONS	
- SUCCESSION PLANNING/ EXECUTIVE APPOINTMENTS	REVIEWS STATUS OF SUCCESSION PLANNING	ENDORSES ECP 4/5 APPOINTMENTS; MONITORS ECP 1-3; REVIEWS MINISTRY PLANS; MAINTAINS HIGH POTENTIAL INVENTORY; REVIEWS APPRAISALS	
SECRETARIAT	ASSOCIATE SECRETARY EXECUTIVE RESOURCES	ASSOCIATE SECRETARY EXECUTIVE RESOURCES	DEPUTY MINISTER HUMAN RESOURCES

Civil Service Commission

Reports to	The Minister designated by the Lieutenant Governor in Council
Support Staff	Human Resources Secretariat
Members	The Commission shall consist of not fewer than three persons appointed by the Lieutenant Governor in Council. The following membership is proposed: one Deputy Minister who shall act as Chairman; four assistant Deputy Ministers; two external appointments.
Responsibilities	The Commission will ensure responsible administration of The Public Service Act. In particular, it will monitor and report on the performance of the Government as employer and retain responsibility for the merit principle. The Commission will delegate to Deputy Ministers, to the extent possible under The Public Service Act, its policy, administrative and human resource management responsibilities.

Human Resources Secretariat

Reports to — Deputy Minister, Human Resources

Context — The Ontario Government Public Service provides the enabling workforce for implementation of Government policy and programs.

As an employer, the Government operates openly and ethically to provide equality of opportunity for employment, development and advancement; to evaluate and review individual performance based on reasonable standards for meeting agreed on results; to maintain a safe and occupationally healthful workplace; to pay wages, salaries and benefits that fairly compensate staff for services performed; to maintain integrity in relations with unions representing employee groups in collective agreement determination. This is the Charter under which the Human Resources Secretariat operates.

Responsibilities — The Secretariat provides corporate staff support to line managers in the exercise of their responsibility for effective human resource management. It maintains a watching brief on the external climate and on the internal strategic direction and operations of Government and its Ministries. In this context, it assists line and corporate management in developing policies, plans, programs and initiatives that support the business of Government and the workplace requirements of employees.

The Secretariat provides functional advice and professional development to human resource and personnel support groups throughout Government. It ensures that systems are maintained to support these groups and to monitor the consistency of human resource support to Deputy Ministers and senior corporate management. The office provides specialist staff support in the following areas:

1) Development of a compensation system for executives, including supplemental pension and benefits arrangements, which is competitive and provides incentives and rewards that are internally equitable and encourage superior job performance. This office examines competitive data; develops recommendations

for salary ranges, salary administration guidelines and other compensation actions for executives. Proposed actions for ECP 4 and 5 executives are reviewed with the Executive Development Committee before being implemented by Deputy Ministers.

2) Review of the classification system for the Executive Compensation Plan. Deputy Ministers approve classification of positions within Ministries at the ECP 1 to 3 levels within the framework and guidelines of the classification system. The Executive Development Committee reviews proposals for classification of positions at the ECP 4 and 5 levels and submits its recommendations to the Secretary of Cabinet for approval.

Employee Relations Division

This Division provides specialist support to Deputy Ministers and corporate management in maintaining a cooperative climate for union/employer relations in the Ontario Public Service. The objective is to promote a collectively determined agreement with the bargaining agents of employees which protects employee interests, achieves employment satisfaction and returns to the Ontario public value for the revenue directed to Public Service compensation and workplace facilities.

The Division develops classification standards, pay policies, salary ranges and increase guidelines for review and approval by the Management Board of Cabinet. The Division provides specialized labour relations advice to corporate management and Deputy Ministers to assist them in maintaining mutually satisfying working conditions and pay arrangements for employees. Labour relations services include counsel to human resources and personnel administrators within Ministries to ensure effective support to Deputy Ministers. Involvement in the early recognition and resolution of grievance generating conditions is especially important.

The Division is responsible for coordination of occupational health and safety across the Ontario Public Service. Included is the evaluation of environmental protection and toxic substance control requirements and communication to Ministries for operational application. The Division compiles and evaluates system performance in occupational health and safety; it also reports findings and recommends measures to Management Board for maintenance of the highest standard of workplace safety in public and private sector employment.

Compensation Research and Benefits Division

The Division conducts research on policy and competitive compensation practices in the public and private sectors for executive, management, excluded and bargaining unit categories and evaluates the policies and programs through which the Ontario Government compensates these employee groups. It provides the research basis for classification and pay policies, and other forms of employee recognition programs. It monitors significant trends across the system and reports significant findings.

The Division carries out research and monitors employee benefit programs in public and private sectors. It develops proposals to maintain relevant policies and programs including pension, sickness, vacation, holiday, life and disability, hospital, health, dental and other coverages which are competitive and meet the particular requirements of individuals and groups of employees in the Ontario Public Service. The Division maintains an effective level of communication and counselling through corporate programs and through the human resource and personnel specialists within Ministries.

Employee Development and Planning Division

This Division provides specialist assistance to Deputy Ministers and Corporate Management in the development of plans and systems that:

- screen operating plans to generate human resource planning linked to the current operating needs, goals and strategic direction of Government and its Ministries;
- provide a framework for development of skills, knowledge and experience to ensure the continuing relevance and competence of individual employees and their advancement on the basis of merit; and
- bring forward recommendations to maintain leadership in policies, plans, programs and employment practices for effective human resource management.

The Division conducts research on the social/ economic/ legislative environment and employment policies and practices in the private and public sectors. It develops an employment strategy that reflects these trends and is congruent with the goals and strategic direction of Government. The objective is to maintain leadership in workplace environment and employment practices.

The Division develops and evaluates human resource supply/demand; trends in workforce demographics; skills and knowledge requirements; employee development and training needs. It conducts personnel research and develops and promotes systems for appraisal, career and succession planning for management, professional and technical employees. It works directly with human resource and personnel staffs in Ministries to assist Deputy Ministers in applying these systems in support of operating effectiveness and to integrate human resource management considerations with operational decisions.

The Division develops and integrates Government initiatives directed at needs of specific groups in the Public Service, including employment, development and advancement of women; needs of minorities and disabled persons; and needs deriving from legislative direction, including equal opportunity and equal pay for work of equal value.

The Division provides consultant expertise to line managers in organization effectiveness and quality of work life initiatives.

The Division coordinates recruitment from post-secondary institutions and develops an effective liaison with key academic leaders to maintain access to quality entry-level candidates for management, professional and technical positions. It coordinates an annual survey of Ministry demand by discipline and qualification level. It plans and schedules interviews conducted by line managers and coordinates the final selection process. It provides impetus for internship initiatives and develops program guidelines for Deputy Minister implementation.

The Division maintains an inventory of corporate level training requirements through consultation with Deputy Ministers; it develops training courses for identified needs that can best be met in cost effective and quality terms through corporate delivery. Selection is determined by line managers in relation to operating needs; it is not to be "candidate driven."

The Division works with line managers to identify needs for human resource management information; it develops cost effective, coordinated systems to meet operating needs. It monitors systems applications to avoid costly duplication and/or development of non-essential unique systems. In this activity, it acts to keep line managers informed and to provide counsel; it has no systems control responsibility for other than corporate human resource information systems.

The Division develops, designs and executes communications that are linked with the needs of Deputy Ministers and the Civil Service Commission for ensuring that employees are informed and that they understand:

- the goals and operations of the Public Service in support of Government policy and programs;
- the objectives of Government that directly affect employees at all levels;
- the response of Government as employer in maintaining satisfying conditions of employment; competitive compensation; a healthful working environment; opportunity for development and advancement on merit; and an open system of employee-employer determination of a workplace environment supportive of excellence.

Ancillary Services

In reviewing responsibilities assigned to the Civil Service Commission, it was observed that certain responsibilities are not closely linked with employment. In this proposal, the following functions are reassigned:

Function	Transfer to
Chaplaincy Services	Ministries Served (Correctional Services, Community and Social Services and Health)
Employee Volunteer Programs	Government Services
Personnel Audit	Ministry Internal Audit Offices
French Language Services	To be reviewed
Temporary Help Services	Government Services

Executive Development Committee

Chairman	Secretary of Cabinet
Secretariat	Associate Secretary Executive Resources
Members	The Committee shall consist of the Secretary of Cabinet; the Deputy Minister, Human Resources; the Secretary of the Management Board; and five other Deputy Ministers to be appointed by the Premier. On establishment of the Committee, members will be appointed for one, two and three-year periods. Subsequent appointments will be for a three-year period; accordingly, members will be changed at a rate of two per year. A quorum for meetings is five members.
Associate Members	All Deputy Ministers not named above. Associate members shall receive agendas and minutes of all meetings.
Charter	The Committee is concerned with corporate organization and effectiveness; succession planning for senior executive positions; development of key executive resources; executive compensation and benefits. The Committee reviews all human resource policies for executives.
Responsibilities	Manages the executive appointments process and approves appointments at the ECP 4 and 5 levels. Maintains a watching brief on executive development from a corporate perspective. Reviews and approves succession, executive development and corporate level organization plans for ECP positions at the 4 and 5 levels. Maintains an inventory of high potential personnel with particular emphasis on individuals with clear potential to advance to Assistant Deputy Minister positions. Reviews data on competitive compensation practices in the public and private sector and recommends programs for compensation of executives to the Management Board of Cabinet.

Approves salary actions for ECP levels 4 and 5. Deputy Ministers have the authority for approval of salary actions within corporate guidelines for all levels below ECP 4.

Endorses classification standards and guidelines for ECP classifications 1-5 as developed by the Deputy Minister, Human Resources. Reviews and approves executive position classifications above the ECP 3 level.

Advisory Council On Executive Resources

Reports to	Premier
Secretariat	Associate Secretary Executive Resources (Reports to Secretary of Cabinet)
Members	The Council shall consist of five members to be appointed by the Premier and to serve at pleasure for so long as the Premier determines. All members shall be selected from senior levels in the private sector and/or significant public institutions. The Chairman and Vice-Chairman shall be appointed by the Premier from among the Council's members. A quorum for meetings is established as three members.
Responsibilities	Review data on competitive compensation practices in the public and private sectors and review and evaluate policies and programs through which the Ontario Government compensates its executive employees. Endorse and recommend salary ranges, salaries and other forms of compensation for senior executives at the level of Deputy Minister. Recommend to the boards of all public sector agencies, boards and commissions (where the organizations' funding is in excess of 50% from Ontario Government sources) a proposed compensation schedule for the chief executive of such institutions. Review the executive development system to ensure that it: - foresees the Ontario Government's senior management requirements; - provides for the early identification and development of key resources; - brings forward specific succession plans for key positions at Assistant Deputy Minister and Deputy Minister levels.

Associate Secretary
Executive Resources

Reports to	Secretary of Cabinet
Charter	The Associate Secretary's office is a staff resource for the Advisory Council on Executive Resources, the Executive Development Committee, and individual Deputy Ministers and senior managers. It is concerned with the development and succession of senior management resources, executive compensation and corporate organizational effectiveness.
Responsibilities	This office provides specialist staff support to management in the following areas:

1) Evaluation of the machinery of Government and identification of options for structural change.

2) Maintenance of a management development system that: anticipates management and operational requirements; provides early identification of management resources; facilitates corporate planning of jobs and other development experiences; brings forward specific succession and individual development plans; and monitors implementation.

3) Selection of candidates for executive training based on individual needs and corporate priorities; development and administration of senior level internal executive programs; evaluation and coordination of participation in external executive development programs.

4) Development of a compensation system for Deputy Ministers, including supplemental pension and benefits arrangements, which is competitive and provides incentives and rewards that are internally equitable and encourage superior performance. This office examines competitive data; develops recommendations for salary ranges, salary administration guidelines and other compensation actions for Deputy Ministers. Proposed actions for Deputy Ministers are reviewed with the Advisory Council on Executive Resources before being submitted to the Premier for approval.

4 PROPOSALS FOR CHANGE:

IMPROVEMENTS IN THE MANAGEMENT OF EXECUTIVES

Excellence in managing human resources can be the foundation of organization culture within the Ontario Public Service. The proposal outlined in section 3 will amend organization structure to help realize this vision. But evolution must be driven by senior managers. Their beliefs and actions are at the core of organization culture, and their leverage is greatest.

The exhibits which follow recommend fundamental changes in the way senior managers are themselves managed. To base compensation more directly on personal contribution would promote and reward excellence, while reducing inequities with competitive jurisdictions. Individual career planning would be strengthened and integrated into long range organizational needs through succession planning for executives, managed and sponsored corporately by Deputy Ministers. Performance assessment would assume new significance and would be more broadly based for those executives who work at the most senior levels. This in turn would focus attention on the determination of workplace goals, objectives and targets, and results. Constructive severance for those who are no longer able to function at senior levels would be introduced. This would not diminish the value of prior achievements, assign fault, nor impede the Government's ability to manage effectively. The focus on executive pension builds on the need to be increasingly sensitive to the individual employment situation of every staff member, and especially conscious of those who are not represented by bargaining agents.

The change to executive employment practices is an end in itself, but more importantly it is also a necessary precondition to broaden change, and to advance excellence in public service, through sound management of human resources at all levels.

These exhibits are prototype proposals for resolution of key issues identified in the interview process. The foundation, factual basis and opportunities may require, in some instances, further study and validation.

EXHIBIT 1

EXECUTIVE COMPENSATION

Background

Compensation for Deputy Ministers and other senior management employees, is unsatisfactory. This situation creates conditions for loss of key executives, and erosion in the caliber of management. It makes it impossible to recruit senior managers from other employers for key positions without resorting to contract arrangements which distort internal equity and destroy morale.

Senior managers have seen cost of living in the period 1972 to 1984 increase 176% (CPI) in contrast to an 80% increase in salary levels. Deputy Minister salary level in 1973 was $46,800; this corresponds to $129,500 in 1984 real terms versus a salary range maximum of $87,900 at December 31, 1985. Scope and responsibilities of positions at this level have increased significantly in the period.

Compensation levels of bargaining unit public service employees have more than kept pace with inflation. This is true as well in other public sector employment e.g., salaries paid hospital administrators are in the $150,000 range; it is increasingly difficult to recruit credible senior administrators even at this level. In post-secondary institutions, presidents of universities and community colleges are being paid in the 90 to 120 thousand dollar range. Private sector salaries at the Deputy Minister equivalent level, including cash bonus are $180,000 at the 3rd quartile; $158,000 on average.

Pressures within the Ontario Public Service from high profile professional groups have put a further strain on the credibility of executive pay administration. Market driven adjustments for such professional groups as lawyers and doctors have created serious compression and in some cases actual inversion with salaries paid to Deputy Ministers and senior managers.

The following table illustrates how compression has advanced in the period 1972 and 1984.

	Deputy Minister	Executives	Management	Bargaining Unit	C.P.I.
% Change 1972-1984	107	122	155	206	190

Attachment 1, provides a graphic representation of the percent change in CPI and Ontario Public Service salaries in the period 1972 to 1984.

The Ontario Government has demonstrated in its behaviour, a long standing commitment to being an exemplary employer. The most significant deficiency in delivering against this commitment is its long overdue redress of compensation shortfall for the employee group most responsible for excellence in operational leadership and entrepreneurial drive.

The following compensation proposal is recommended as a means of reinstituting appropriate rewards for excellence in senior management in the Ontario Public Service.

The proposal directs the entire cost of redress to the reward of superior performance. The marginally effective manager would not be compensated beyond current salary level. In view of the highly discriminatory compensation levels under the program, it is recommended that the current practice of publishing individual salaries for senior management be replaced by disclosure of salary ranges for all positions with a range maximum in excess of $75,000 with the number of incumbents by range and average salary paid. This would satisfy the need for public disclosure and accountability. It appears that there is no requirement to publish performance bonus awards being proposed either as to form or amount.

Current Situation

Ontario Government executives are paid within very narrow salary ranges. There are no performance bonuses.

Executives progress to the "top" of their ranges - which is, at most, the mid-point of the salary range for comparable employers. Once at range maximum the only recognition of improved performance is promotion; promotional opportunities are severely limited.

The "top" of the executive ranges is low when compared - on the basis of job content - with going rates in the private sector, and in municipal government, crown corporations and other public sector employers.

Proposed Executive Compensation Plan

The proposal combines base salary and a performance bonus award determined annually to provide a mix of fixed and variable cash income to senior executives in the Ontario Public Service above the ECP1 level. The exclusion of the ECP1 category from variable bonus payment is consistent with competitive practice. It also recognizes that current cash compensation for ECP1 level executives is highly competitive both in relation to pay structure and actual salaries paid.

For executives in ECP categories 2 to 5 and at the DMCP level it is proposed that:

1) Base salary continues to be determined in relation to current salary ranges and pay administration practices

2) Performance Bonus Awards be determined annually and awarded on the basis of classification level and performance category.

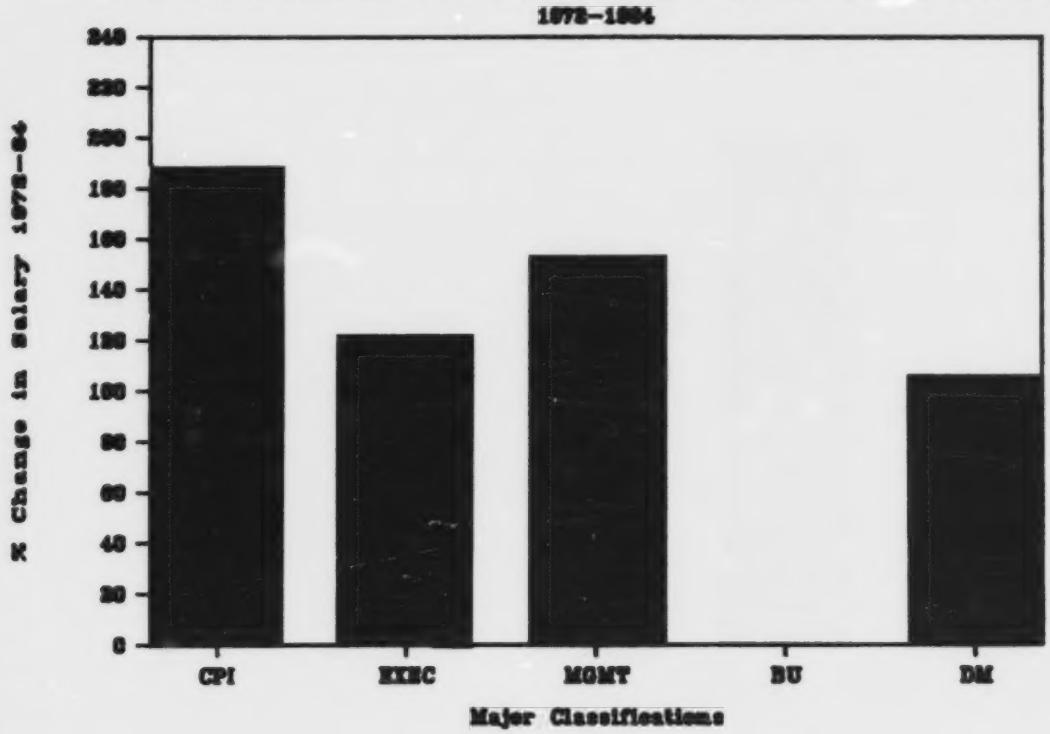
The bonus component will correct some of the shortfall in executive compensation. A broad cross-section of benchmark positions in each of the ECP2 to DMCP executive levels has been priced using Hay Associated and TPF & C competitive data. The maximum bonus proposed in each classification would bring total cash compensation up to the average level in the private sector. Attachment 2 shows base salary and bonus structure. The weighted average cash compensation being proposed for executives in ECP2 to DMCP levels is at about the 25th percentile of competitive pay in the private sector.

The following shows expected performance distribution by ECP and DMCP categories. It indicates that an estimated 30% of executives will not participate in the performance bonus award program in any given year. This assumes that a number of executives will fall short of the fully satisfactory performance category and that a greater number will be at salary levels which fall sufficiently within the base salary range to be ineligible for bonus.

PERFORMANCE ZONE	EXPECTED DISTRIBUTION	NUMBER OF ALL EXECUTIVES IN EACH ZONE					TOTAL ALL GROUPS
		ECP 2	ECP 3	ECP 4	ECP 5	DMCP	
Clearly Superior	10%	15	24	12	6	4	61
Above Expectation	30%	43	66	34	18	11	172
Fully Satisfactory	30%	44	66	34	18	11	173
Normal Salary Range	30%	44	66	35	18	10	173
Total Executives	100%	146	222	115	60	36	579
Average Salary (Including Bonus)		64 588	76 245	84 283	93 394	109 136	78 724
Current Average Salary		59 823	66 245	70 938	75 236	86 845	67 770
Increase of Proposed Mew Average Salary		8%	15%	19%	24%	26%	16%

ATTACHMENT 1

% CHANGE IN CPI AND OPS SALARIES



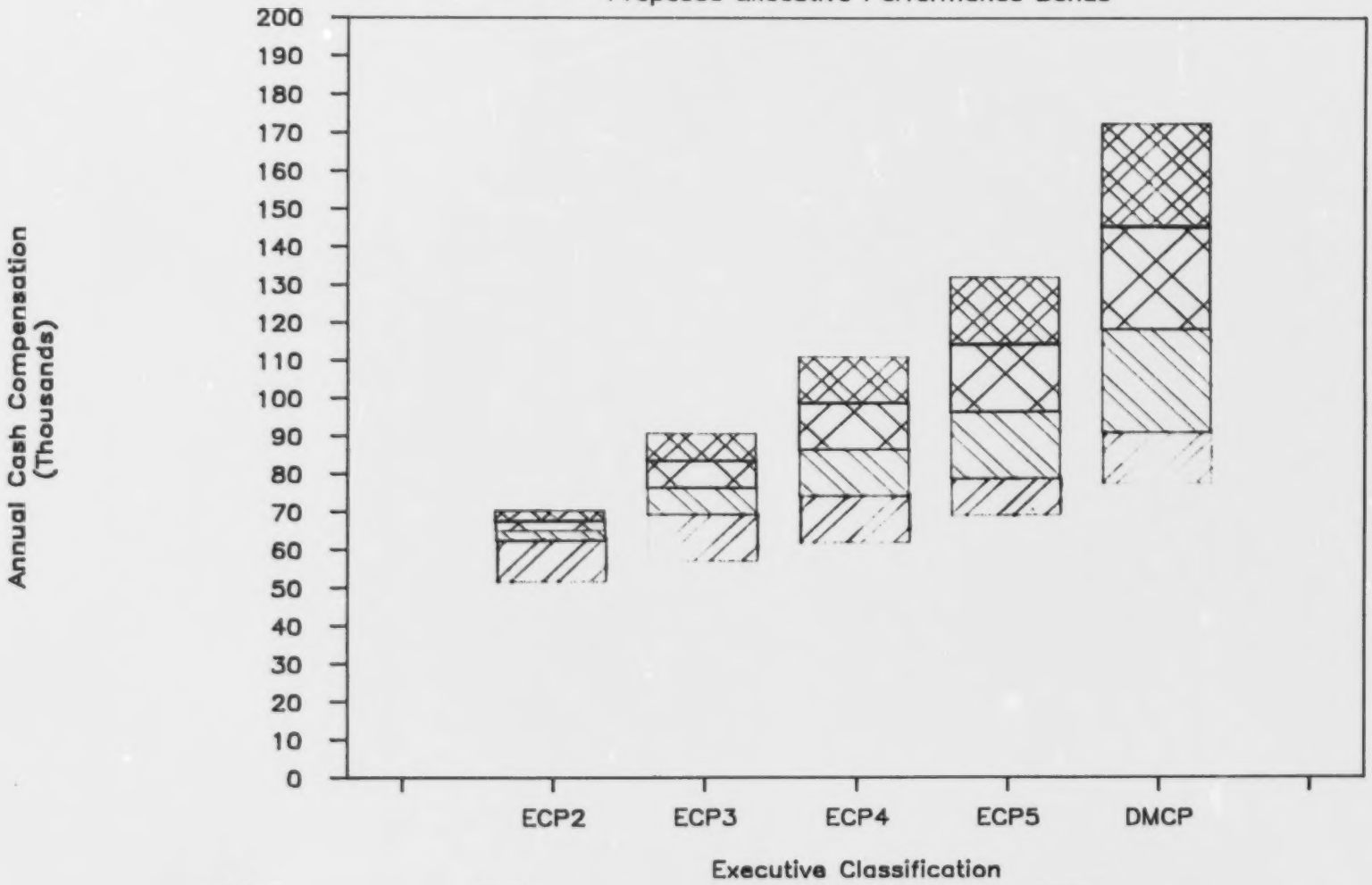
KEY:

CPI	Consumer Price Index
EXEC	Executives
MGMT	Management
BU	Bargaining Unit
DM	Deputy Ministers

ATTACHMENT 2

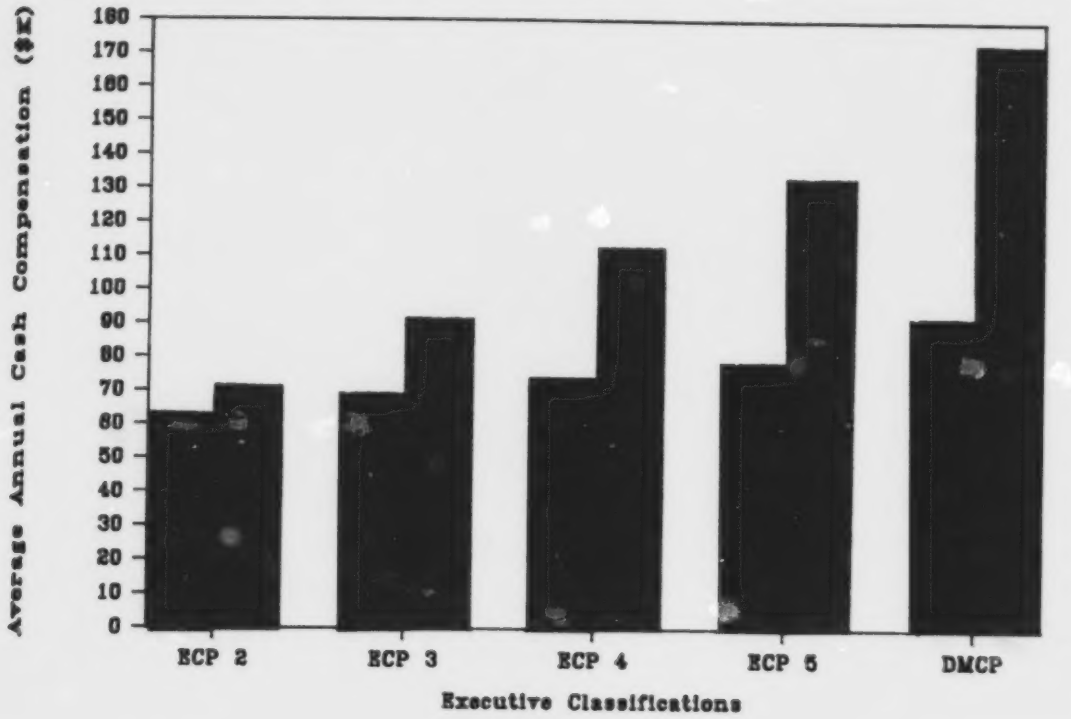
GOVERNMENT OF ONTARIO

Proposed Executive Performance Bonus



ATTACHMENT 3

COMPETITIVE PAY LEVEL OF OPS EXECUTIVE



KEY: ■ *OPS salary range maxima January 1, 1986*

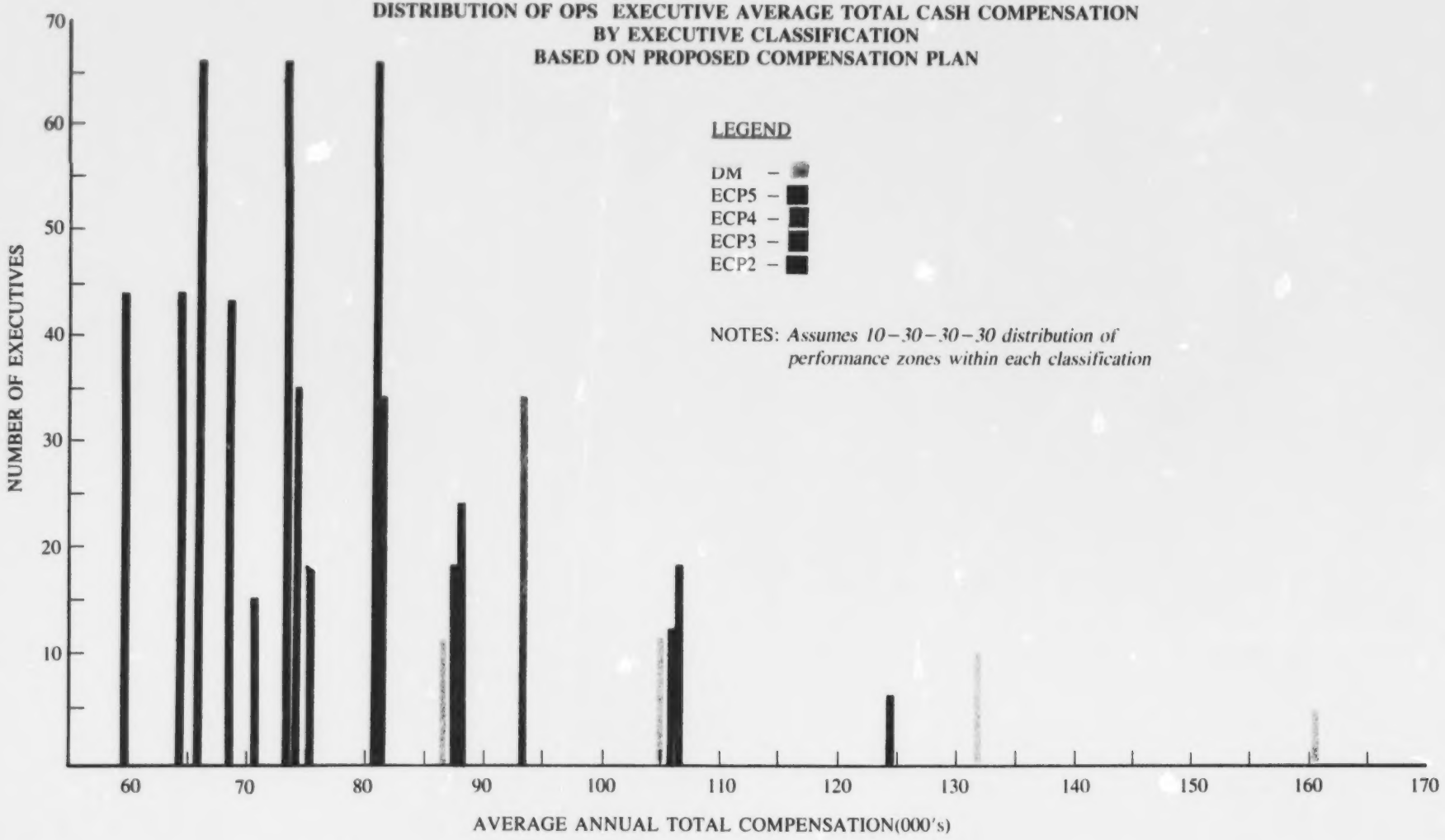
■ *Competitive*

NOTES: *"Actual" salaries are the maximum for each Executive classification, as of January 1, 1986*

"Competitive" compensation level is the cash compensation paid in private sector classifications which are equilivatent in scope and responsibility to OPS Executive catagories. This information is derived from Hay and Associates and TPFSC data for 1985.

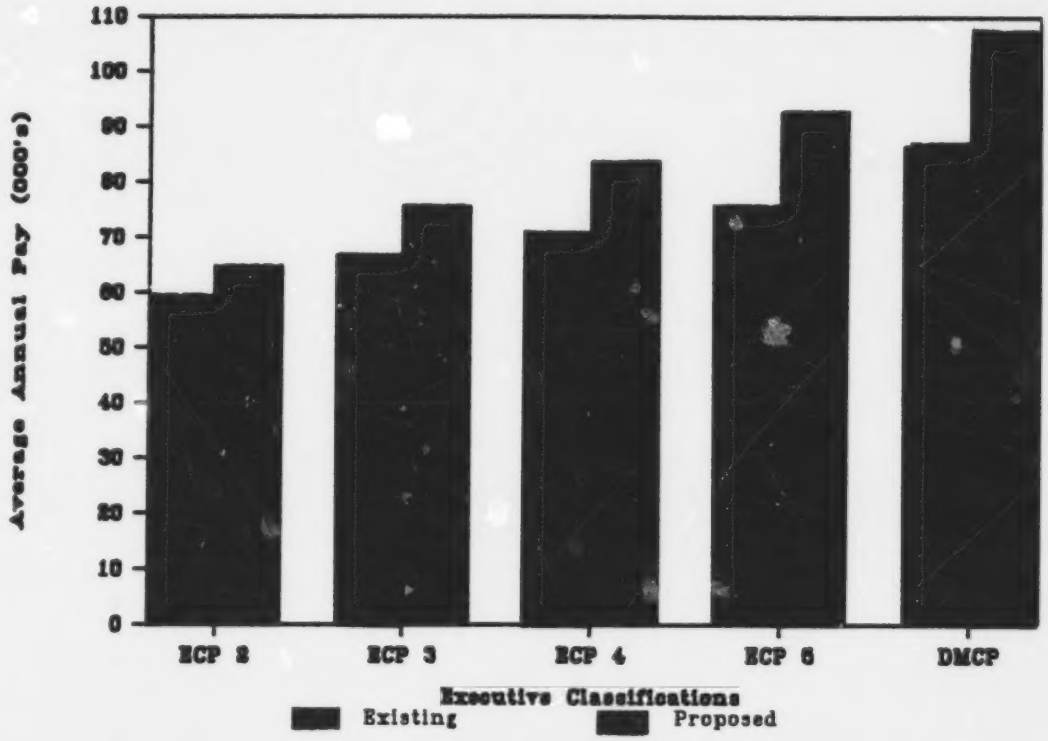
ATTACHMENT 4

DISTRIBUTION OF OPS EXECUTIVE AVERAGE TOTAL CASH COMPENSATION
BY EXECUTIVE CLASSIFICATION
BASED ON PROPOSED COMPENSATION PLAN



ATTACHMENT 5

EXISTING AND PROPOSED



NOTES: The proposed average compensation for each classification assumes the following distribution of performance rating within each category:
- Clearly Superior - 10%
- Above Expectation - 30%
- Fully Satisfactory - 30%
- Normal Salary Range - 30%

Individual performance categories for bonus purposes are to be determined in relation to goals established for each individual. In addition bonus could be affected by team goals tied to a Ministry's success in:

- completing year under budget
- timely completion of projects
- development of high calibre staff with low turnover
- responsiveness to publics
- sound policy development
- quality of labour relations etc.

Only executives who are within 10% of the top of the range would be eligible for performance bonus. Those below that level would have their performance reflected in their movement in the range.

Bonuses are non-renewable and must be earned every year.

The following additional data is included to illustrate the effect of implementing the proposed bonus award program.

Attachment 3 — Shows January 1, 1986 salary range maximum for ECP2 to DMCP executives compared to the average salary plus bonus paid for matched positions in the private sector (these figures were developed from Hay Associates and TPF & C data)

Attachment 4 — shows the distribution of salaries by executive classification anticipated under the proposed compensation plan.

Attachment 5 — shows estimated cash compensation under the proposed plan compared to the maximum of the salary range in effect January 1, 1986, by ECP/DMCP category.

Summary

The above compensation proposal:

- will increase compensation costs for ECP2 to DMCP executives by approximately 15%. This is less than one-quarter of 1% of the total Ontario Government employee payroll.

- the proposal does not fully redress the pay difference between Ontario Government executives and what they would be offered to move to other employers in the public and private sectors.

- the additional cash compensation restores executives to the purchasing power these positions provided ten years ago and can only be achieved through a standard of performance much higher than expected in the past.

- the bonus is annually determined as a variable component of cash compensation; this is a leading edge concept and will be a model for public sector performance related compensation. There may be an opportunity to extend this concept to other public sector executives including those in Crown's Agencies and Commission. It would involve converting that portion of base salary which exceeds the corresponding base salary maximum in the Public Service to annually renewable performance bonus awards.

- inclusion of average bonus paid in the five years prior to retirement as pension bearing earnings should be considered given the non-competitiveness of base salaries. This is particularly critical at ECP2 to ECP5 levels where the 2% pension annual accrual factor has not been modified.

EXHIBIT 2

EXECUTIVE DEVELOPMENT AND SUCCESSION PLANNING

The Ontario Government is committed to an effective executive development system which:

1) sustains a flow of internally developed qualified candidates for senior appointments to meet current and future organization needs

2) identifies and develops key individuals capable of advancement; provides the appropriate mix of development experiences and training to equip individuals for general management responsibility

3) provides for systematic regeneration and up-grading of all executives to maintain competency and leadership and to meet changing requirements of Government operations

4) monitors Government strategies to identify need for change in organization structure; develops design options linked to operational planning as a basis for future succession at the executive level.

Background

The executive development system supports the belief of the Ontario Government that the primary source of candidates for senior executive appointments should be from within the Ontario Public Service.

The system is pervasive; it establishes the principles which guide managers throughout Government operations in creating an employment climate which encourages employees at all levels to improve skills and knowledge; perform at full capacity; and advance in relation to personal preference, performance and achievement. Employee development and succession planning is a primary responsibility of each manager and an integral part of each manager's responsibility and stewardship. A deficiency in this is more critical than in any other area of responsibility.

The Premier of Ontario must be and is personally committed to executive development as being essential to the long-term viability of Government operations. Key roles in the system are assumed by the Advisory Council on Executive Resources and the Executive Development Committee. Staff assistance to these committees is provided by an Associate Secretary of Cabinet reporting to the Secretary of Cabinet. This office provides as well specialized assistance to Deputy Ministers in their management of the executive development process across Government.

Executive Development Review

An executive development review is held annually with the Executive Development Committee by each Deputy Minister and senior department manager. The purpose is to ensure that in each Ministry and Corporate Department there is a systematic succession of high quality executives. The reviews provide input to the senior level review conducted annually with the Advisory Council on Executive Resources.

The following is an outline of review content:

Section I - Summary

A. Action Plans

- specific executive changes to be made in the current and subsequent calender year for which Committee approval is required

B. Organization

- effectiveness of current organization structure and management system in relation to current/projected operations planning
- significant changes in organization, managerial roles and process since the last review
- changes planned in organization structure and systems of management
- implications of strategic planning for organization structure and staffing

Organization charts are to be included showing numbers of people employed by categories.

C. **Affirmative Action Status**

- an assessment of the present status of development and advancement of women and minorities to executive level
- identification of issues for future action
- comment on key success/failure/other significant experiences
- a table of significant statistics illustrating status/need for further action.

D. **Executive Development**

- a summary analysis of management strength
- a general assessment of factors impacting mobility and how they affect individual high potential executives
- potential employment issues which may affect the long range strength or weakness of the organization
- an assessment of overall training and development needs and plans for executives and high potential management personnel
- any issues which the Deputy Minister/Department Head considers of significance for Committee review and discussion.

Section II - Succession Planning

This section of the review should consider the effectiveness of the senior management team today. It should present a succession plan for these positions which is responsive to the corporate needs of Government, the current and future organizational needs of the unit and the development requirements of key executive resources affected by the plan. It should provide a clear understanding of operational strategies which have the greatest influence on executive requirements over the five year planning period.

A. **Selection of Replacement Candidates**

The selection of a "planned" or "alternative" replacement candidate should indicate that the person

- is thought to have the ability to fill the position competently within the period indicated

- can realistically be made available when required. If not, comment should be made on how the development of the candidate successor can be altered or accelerated to meet the planning requirement.

In addition to considering internal candidates consideration should be given to seeking external candidates where this may be the more likely or desirable alternative. Rationale for this should be included in the review.

The Deputy Minister/Manager in presenting the review should comment on the performance and potential of each incumbent and each replacement candidate. Impact of succession plans on the mix of the management team and its overall effectiveness should be discussed. Special attention should be given to a review of those incumbents who have been in the position more than five years; who are limited in potential; or whose performance is in prospect of becoming marginal because of competition or changes developing in the units operations.

B. Replacement Plans

A position plan is to be prepared for senior level executive positions (identified each year by the Deputy Minister/Manager in consultation with the Associate Secretary Executive Resources) using the "Succession Planning Table" attached.

It is expected that the plan will be drawn for the next five year period. Comments on changes predicted beyond that period should be mentioned in the report if they have significant bearing on shorter range plans.

Plans for positions are shown in sketch form and may not include all factors which influence planning. Certain of these factors could have impact on Government at the corporate level or on other Ministries. Some considerations to be taken into account in the report are

- if a change in position is planned what happens to the present incumbent - what placement problems may occur?

- is the replacement planned the best of a number of candidates or the only choice in the reporting organization?

- are there positions in which change in incumbent is desirable but not indicated because there is no alternative placement opportunity apparent for the present incumbent?

- comment on any specific initiatives which are being undertaken for further professional development of present incumbents aimed at improving individual effectiveness or responding to significant change in unit operations.

- are there situations developing where change may be needed (such as performance problems or prospect of early retirement) but which at this time are not sufficiently clear to be included in this plan?

- are there situations where the likely best candidate is from another organization? Are there reasons why this external candidate is not being considered?

Section III Executive Planning

This section of the review should consider the current and future effectiveness of the executive development process within the Ministry/Department and corporately from the perspective of the operating unit presenting the report. The focus here is how well senior management is meeting its primary responsibility for identifying and developing high calibre of executives capable of replacing Deputy Ministers and Senior Managers in the Ontario Public Service.

The section will cover the performance, potential, future position plans for individuals and the depth of resources for senior management replacement from within the organization.

A. Assessment of Executives

All individuals in positions below the level of Deputy Minister/Manager with potential for senior level general management positions within the reporting unit (or in other units) should be covered in this section using the "Executive Planning Table" attached. Individuals should be divided into meaningful classification level groupings. Within each group they should be listed in rank order beginning with the individual with highest potential in each group. Pertinent information should be included on all individuals including at minimum the next planned assignment. It may be necessary to show more than one alternative. In planning the next assignment, consideration should be given both to the needs of the organization and realistic opportunities, as well as to the interests and career goals of the individual. The intent is to avoid creating unrealistic expectations; minimize rejection of job offers; and increase the prospect for each assignment to be viewed as a positive development step by the individual.

In preparing the plans for high potential executives it is important to ensure continued exposure to key operating

positions within the current unit as well as in other organizations including central agency operations.

The following attachments include:

1. Succession Planning Table
2. Executive Planning Table
3. Individual Development Plan

The tables show some examples of how the material is to be presented.

This approach to an annual Executive Development Review by senior management recognizes that the Ontario Public Service is decentralized. Ministries are highly independent, each with its own Deputy Minister and management committee. These organizations contain most of this executive population. In addition there are central agencies and departments responsible for functional operations. There is therefore a corporate requirement to bring together an integrated executive development plan. This is the responsibility of the Executive Development Committee. It will prepare each year the corporate plan based on the information and discussions with Deputy Ministers/Managers which derive from unit level annual executive development reviews.

ONTARIO PUBLIC SERVICE
SUCCESSION PLANNING TABLE

ORGANIZATION: Ministry "X" | DATE: December 1985

KEY	POSITION TITLE / Incumbent	CLASSIF. LEVEL / MO/YR. ASSIGNED / (AGE) YR. END	PERFORMANCE	POTENTIAL*	Replacement (AGE) YR. END	1-Ready 2-1-2 Yrs. 3-3-5 Yrs.	CLASSIFICATION LEVEL	PERFORMANCE	POTENTIAL*	REPLACEMENT PLAN — SHOW PLAN FOR POSITION, INDICATE WHEN CHANGE WILL TAKE PLACE, ANTICIPATED REPLACEMENT, NEXT ASSIGNMENT FOR OUTGOING INCUMBENT.	COMMENTS — EXPAND, AS NECESSARY, ON THE SKETCHED PLANS.
										19 86 / 19 87 / 19 88 / 19 89 / 19 90	
1	Deputy Minister A.B. Brown	DM 8/77 61	-	-	B.C. Connor D.E. Eccles G.H. Horak	1 3 2	ECP5 ECP4 ECP2	2.0 2.0 1.0	DM DM DM	B.C. Connor retires 9/87	Connor is a fully qualified replacement with potential for A/C/B appointment
2	Assistant Deputy Minister B.C. Connor	ECP5 2/82 49	2.0	DM	G.H. Horak D.E. Eccles	1 2	ECP2 ECP4	1.0 2.0	DM DM	G.H. Horak to Dep. Min. 9/87	Horak the best candidate but need to re-assign duties to develop Eccles as next D.M. - by-passing Horak
3	Assistant Deputy Minister C.D. Diement	ECP4 6/75 64	2.5	L	R.A. Rundall K.R. Zelt E.F. Farquhar	3 3 3	ECP1 AM20 ECP3	2.0 1.0 1.0	DM DM DM	Corporate Candidate retires 3/86	Gelinas the planned replacement - has developed performance problems in past 6 months need emergency substitute for Diemert replacement
4	Executive Co-ordinator D.E. Eccles	ECP4 11/80 43	2.0	DM	G.H. Horak	1	ECP2	1.0	DM	*	*needs job re-structuring in 1987 to provide experience in external contact work now handled by Connor
5	Director E.F. Farquhar	ECP3 10/82 43	1.0	DM	Corporate Candidate - ideal development position					transfer out	Farquhar needs central agency experience to realize D.M. potential
6	Director F.G. Gelinas	ECP2 10/81 56	3.0	L	C.M. Mandell T.J. Lajoie	1 2	ECP1 AM21	2.0 1.0	ECP ECP	3 4 (or retire)	working with Gelinas to resolve performance problem may need to retire early if not resolved

KEY:

1. PERFORMANCE rating should be coded as 1, 2, 2.5, 3, 3.5 or 4
2. POTENTIAL rating should be coded as follows:
   - Code level of highest position individual can attain
   - If projected level is deputy manager or equivalent show D.M.
   - If limited to present position, show "L"

EXECUTIVE PLANNING TABLE
(Executives with potential for assistant deputy minister level or higher)

ORGANIZATION: Ministry "X" | DATE: December 1985

NAME	(AGE) YEAR END	PRESENT POSITION: POSITION TITLE	CLASSIF. LEVEL	PERFORM.	DATE MO./YR.	NEXT ASSIGNMENT PLANNED: POSITION TITLE	CLASSIF. LEVEL	DATE MO./YR.	SECOND ASSIGNMENT PLANNED: POSITION TITLE	CLASSIF. LEVEL	DATE MO./YR.	POTENTIAL	TITLE OF HIGHEST POSITION INDIVIDUAL CAN REASONABLY BE EXPECTED TO ATTAIN
B.C. Connor	49	Assistant Deputy Minister	ECP 5	2.0	2/82	Deputy Minister	DM	9/87	Highly qualified for CEO position in board "Y"	DM +	8/92		Chairman and CEO board "Y"
D.E. Eccles	43	Executive Coordinator	ECP 4	2.0	11/80	Restructure present position re-assign external contact work from Connor's existing position	ECP 5	6/87	Deputy Minister	DM	8/92		Deputy Minister (should attend M.I.T. Sloan School of Mgt. Prog. for Senior Exec. in 1988)
G.H. Horak	50	Director	ECP 2	1.0	8/82	Assistant Deputy Minister	ECP 5	9/87	Could replace Connor 8/92 if needed - unlikely prospect				Deputy Minister may not be realistic candidate - a late bloomer!
R.A. Rundall		Comparable data to above would be included in report											
K.R. Zelt													
E.F. Farquhar													
A.B. Davidson													
T.J. Lajoie													

ONTARIO PUBLIC SERVICE
INDIVIDUAL DEVELOPMENT PLAN

DATE: December 1985

POSITION (TITLE)	NAME (FIRST)	(MIDDLE)	(LAST)
Executive Co-ordinator	Douglas	Edward	Eccles
MINISTRY/DEPARTMENT	**DIVISION**		**LOCATION**
Ministry "X"	Finance & Admin.		Toronto

PERFORMANCE SUMMARY (Comment on functional and management strengths including areas in which employee excels as evidenced by specific examples)

Has made transition to finance and planning disciplines in outstanding manner; has provided fresh perspective and works creatively; personal example of moving projects quickly to conclusion has staff motivated to high levels of performance; effective in inter-Ministry relationships critical to operational success.

CLASSIFICATION LEVEL: ECP4

PERFORMANCE APPRAISAL CODE: 1.0

POSSIBLE ULTIMATE POTENTIAL (Indicate specific positions)

POTENTIAL APPRAISAL CODE: D.M.

Deputy Minister within this Ministry. Retains vocational commitment to his original profession. Prefers to remain in touch with the discipline on a career basis. Recognized interally/ externally as a leader in the field.

DEVELOPMENT NEEDS/CONSTRAINTS

DEVELOPMENT OBJECTIVES/EXPLANATION (Specify positions or work assignments that will help prepare for highest ultimate potential. Also include any known personal limitations, such as mobility, that might inhibit movement.)

Re-structure position in mid-'87; re-assign external contact responsibility for academic/scientific community liaison/research initiatives from the Connor A.D.M. position to Eccles to confirm professional/management strength and develop for D.M. replacement. Re-classify position to ECP5 and assign A.D.M. title. Mobility in terms of other Ministry assignment is limited by personal preference.

TRAINING (Indicate educational or training programs that will also help prepare for ultimate potential.)

Develop candidacy for Massachusetts Institute of Technology - Sloan School of Management Program for Senior Executives in 1988. This will broaden outlook; strengthen competence in long range policy formulation; develop new concepts and techniques in leadership, decision-making, and operational effectiveness; broaden his contact network.

DEVELOPMENT PLANS

(Show, through examples of job titles, how the employee could achieve the potential specified above.)

DATE(S)	POSITION(S)	ORGANIZATION(S)
1987	Position re-structured	
1992	Replaces Deputy Minister	

EXHIBIT 3

EXECUTIVE PERFORMANCE ASSESSMENT

Background

The Ontario Government provides an employment environment for executives which balances the need for delivering Government programs and mandates effectively and providing opportunity for individual growth and reward commensurate with the vocational commitment of public service executives.

An essential component is a performance system which links individual effort to operational needs and provides meaningful feed-back on performance results and fit of individual management style. The individual executive has a responsibility to negotiate a results-oriented personal contract and in return be measured periodically in relation to agreed upon standards and rewarded through compensation, development and advancement in direct relation to personal contribution and worth to the organization.

Consistency in measuring performance of individual executives across the system is valued. To facilitate this a relative ranking system is proposed.

The system relies on the collective input of Deputy Ministers and Corporate Managers to the extent they are familiar with individual executives being ranked; the degree of familiarity is critical to the validity of results; the nature of supervision and or business contact is equally important. In addition to indicating the individual's performance, the system ranks the rankers to indicate the correlation between the individual ranker's input and the collective whole.

The system does not rely on intensive paper input. The seriatim report it produces provides a basis for Committees of Deputy Ministers and Senior Corporate Managers to discuss and finalize an agreed upon ranking of individual executives on a relative basis across department and functional boundaries. It validates assessments of individual senior managers and adds significantly to the credibility of assessments used in intra-government rotational and promotional appointments.

An implicit belief underlying this is that the best indicator of the individual executive's potential for advancement is current performance, with the necessary proviso that the promotion being considered fits with interest, commitment, knowledge, skills and disposition. The relatively high ranking professional specialist, with a dedicated commitment to current discipline, is not well-served, nor is the Government, by promotion out of the professional stream to a managerial post without regard for long term fit. Recognition and reward systems must recognize and avoid pushing high calibre individual contributors into the managerial stream for reward reasons.

Methodology

The "ranking" system:

- supports equal opportunity policies through uniform application
- allows different weights for rankers reflecting different familiarity with individual executives
- provides distances between individuals being ranked so that the collective positioning by rankers reflects absolute as well as comparative performance
- provides a degree of correction to positioning of individuals ranked by only a few rankers.

Ranking Steps

To introduce the system the Executive Development Committee should:

- determine the basis for establishing units of executives to be ranked, e.g. in relation to ECP classification groups, occupational groups - managers, specialists, etc., ministry fields; and other factors
- decide on rankers for the groups identified
- distribute lists of individuals to be ranked
- issue rankers instructions on methodology
- arrange for collection and computer compilation of rankers' input
- decide on method of committee/sub-committee review of results and determination of adjustment where needed
- assess the correlation between "RANKING" results and the performance rating of unit managers
- feed-back, through successive management levels, findings of the analysis.

Typically, if a ranker were to receive three unit listings covering a total of 150 executives within the rankers orbit, the ranker would eliminate about 100 persons and rank the remaining 50. This would take two to three hours of the ranker's time at maximum. Additional time would be required for Committee deliberations but through that discussion line management would in time come to know more about individual executive resources as a basis for succession planning and promotional decisions.

The appropriateness of using computer based assistance in the RANKING process is summarized below:

Number of Executives Being Ranked	Number of Rankers		
	2 - 4	5 - 10	More Than 11
1 - 10	0	+	++
11 - 20	+	++	+++
21 - 50	++	+++	+++
More Than 51	++	+++	+++

0 = no value in computer assistance
\+ = some value
++ = good value
+++ = considerable value

The attachment to this Exhibit provides a description of:

- familiarity categories
- alternation ranking
- assigning performance scores
- listing of executives (input worksheet)

EXHIBIT 3

A PERFORMANCE RANKING PROCESS FOR EXECUTIVES

"Familiarity" Definitions

The degree to which rankers are familiar with those employees being ranked is critical to the validity of the overall ranking results. Do not rank an employee with whose performance you are not sufficiently familiar by any of these definitions.

- Direct/Dual Supervisory Relationship
  This means that within the last year, you have been in a direct/dual supervisory relationship with the individual being ranked.

- Functional or Indirect Supervisory Relationship
  This means that within the last year, you have been in an indirect supervisory relationship (the person does not report to you directly, but is in a subordinate position within your functional circuit).

- Direct and Frequent Business Contact
  This means that within the last year, you have the recurrent occasions to do business with this individual in sufficient depth to judge comparative performance. This does not necessarily mean that you can judge the person's performance as a supervisor might. But ensure that you can, with validity, on a first-hand basis, compare that person to others in the peer group. Therefore, you should not rank people based on second-hand knowledge of the individual, evaluation by reputation, or simply by having observed the person at a meeting, social contacts, etc. Your impression of overall performance should not be based on contacts more than one year old.

Alternation Ranking

- First, select the individual you judge to have the highest performance and place him/her at the top of the list. At the bottom of the list, place the individual who is the lowest performer. Continue this alternation procedure of positioning the individual with the highest performance, and then the one with the lowest performance from the remaining employees until all are ranked.

- After ranking the employees, check the order of the ranked employees so that they are ranked from highest performer to lowest performer.

Assigning Performance

Performance scores allow a ranker to define the relative distances between the employees he/she is ranking. For example, one ranker may think his/her number one employee is a significantly better performer than his/her number two employee, whereas another ranker thinks his/her number one employee is only a slightly better performer than his/her number two. These relative differences become important in assigning rankings fairly.

The performance score is a number that identifies the performance category of an employee as perceived by a particular ranker. Each range is specified by a highest and lowest score. If a ranker feels that an employee has a certain performance category, he/she gives that employee a score between the highest and lowest values for that specific performance category. For example, if employee "A" deserves an "excellent" rating, then employee "A" will be assigned a score somewhere between 201 and 250 (see table below).

Using performance scores, a ranker can distinguish between one situation in which he/she thinks his/her number one employee has very high performance, whereas his/her number two employee performs well but less well than number one, and a second situation, in which the performance of number one and number two are fairly close. In the first situation, the scores for one and two might be 198 and 145 respectively; whereas in the second situation, the scores might be 198 and 196.

The following table is used to estimate the score to be assigned to the performance of each employee ranked.

Performance Described as	Score Assignment Range Low	High
Outstanding	251	300
Excellent	201	250
Very Good	151	200
Good	101	150
Requires Improvement	51	100
Unacceptable	1	50

INPUT WORKSHEET

EXECUTIVE PERFORMANCE RANKING

Rankers ID _____

Unit Being Ranked _____

EXECUTIVE LISTING

NAME	I.D. NUMBER	JOB TITLE	ECP LEVEL	LOCATION	RANKER INPUT				
					EXEC RANK	EXEC SCORE	FAMILIARITY 1	2	3

EXHIBIT 4

EXECUTIVE SEVERANCE

Background

Since 1975 the focus in the Ontario Public Service has been on downsizing through short term tactical actions to bring down size of the work-force in response to finite fiscal resources.

It is timely to alter the focus for executive level positions to bring to bear a sharpened attention to relative differences in individual competence and contribution. Significant change confronts Government today; rapid shifts in technology and structure are already underway. Certain executives who have performed well in the past are now so marginal in knowledge and skills that they are disfunctional and are blocking key positions in critical areas of leadership.

There may be as much as a 10% segment in the executive group where this condition exists. Certain individuals have in fact been set aside through application of the process leading to termination under Section 90 of Regulation 881 under the Public Service Act. Other individuals are being moved out of Ministries through the reorganization/surplus list process. Both processes are non-productive in the view of managers; they take an inordinate amount of management time, which does not contribute to the individual executives well-being or to operational effectiveness; they result in a loss of the affected person's feeling of self-worth and pride and obscure the value of prior achievement in the Public Service. As a consequence there are more cases of problem performance tolerated than addressed. Those cases which have been successfully resolved through the two processes described would have had a better and more timely resolution if managers had been left to manage with the integrity and scrutinized prerogative applied to other significant areas of managerial exercise.

Proposal

Deputy Ministers and Corporate Managers in the Ontario Public Service have demonstrated competence and ethical behaviour as managers at the leading edge of counterparts in other public and private sector institutions. Their behaviour as managers reflects the belief in the intrinsic worth of individuals and their right to be treated with dignity and given full recognition for personal accomplishment. This belief must be balanced with the requirement

to use fiscal and other resources responsibly. This can lead to the requirement to terminate an employee whose past performance has been satisfactory but who, for reasons beyond the individual's control, is no longer capable of performing at an acceptable level. This does not constitute just cause and attracts to the employer the requirement to compensate the employee for loss of employment and income, particularly in cases where the employer shares the responsibility for events leading to termination.

It is recommended that steps be taken to exclude executive level employees from provisions of The Public Service Act and its Regulations pertaining to termination and to implement the following:

- Deputy Ministers and senior corporate managers are responsible for identifying executive level individuals in their operations who are judged to be no longer capable of performing adequately in current assignment and do not have the capacity for re-training or reassignment within the Public Service.

- Where practical, particulars of the case are to be reviewed with the Management or Senior Human Resource Committee of the ministry to confirm the need for termination.

- Severance payment is determined by the Committee and approved by the Deputy Minister or Senior Corporate Manager. Key objectives to be recognized where termination is not for just cause:

  - the payment is to compensate the executive for loss of employment and income
  - the payment must be consistent with legal requirements
  - the payment should be at a level which recognizes past service of the individual and should be used to facilitate an amicable separation
  - the employee should be assisted in relocation; the services of an external relocation counsellor may be used at the discretion of management to achieve this objective.

- The following schedule of severance payment is the maximum amount payable. The schedule is included here to illustrate only, how authority may be delegated to line management. It will require legal and corporate review and approval by the proposed Executive Development Committee. In determining level of payment, management will take into account considerations such as eligibility for immediate retirement income; problems in job performance and/or behaviour over an extended period; and other job-related factors. The following is a possible formula for determining maximum severance:

1) a basic amount of one month's salary
2) an additional amount of one-half month's salary for each year of service up to ten years plus one month's salary for each year of service in excess of ten years
3) a further amount which multiplies the total of 1) and 2) by the following factors; this recognizes level of responsibility and degree of difficulty of securing alternative employment:

Executive Level	Responsibility Factor
ECP 1	130%
ECP 2	135%
ECP 3	140%
ECP 4	145%
ECP 5	150%

The resultant severance amount is subject to a maximum of 16 month's salary. In special cases authorization may be made by the Executive Development Committee to increase the payment to a maximum of 18 months.

EXHIBIT 5

EXECUTIVE PENSION

The purpose here is to identify issues and opportunities which may have some foundation given further examination and study.

Executive Contributions to Pension

There is a need to ensure that the current 7% employee contribution to pension provision under the Government's qualified plan:

a) is not in excess of the amount allowed for deduction by Revenue Canada; otherwise the executive is being required to contribute in part after tax dollars from personal income; impact of private source income should also be studied.

b) is not being continued during a period of employment beyond which the Revenue Canada pension maximum restricts further pension accrual. The maximum is currently the lesser of $60,025 or, years of service multiplied by an annual maximum pension accrual of $1,715, e.g. for 15 years of service the maximum is $25,725. A Deputy Minister with final 5 year average earnings of $80,000 and 15 years of service as Deputy Minister would have a formula level of entitlement of: 4% X 15 years X $80,000 = $48,000; pension under the qualified plan however could not exceed $25,725, yet employee contributions would have continued during the full period without benefit for the latter part of the period.

If the above comments prove to be valid on further investigation of pension provisions as they apply to executives, there appears to be significant potential for dissatisfaction and demand for redress.

The following course of action should be considered:

1) Discontinue the executives' contribution to pension at the point in any taxation year when the amount allowed for income tax deduction is reached. This can be automatically handled through the payroll process.

2) Provide any shortfall between formula amount of pension under the qualified pension plan and the Revenue Canada maximum in effect at date of retirement through a non-qualified supplemental retirement income commitment made through letter of agreement with individual executives at a date prior to retirement.

3) If the proposed performance bonus award plan is introduced, the variable amount of year to year cash compensation should be brought into pensionable earnings outside the qualified plan through the agreement outlined in 2) above. The total of supplemental retirement income derived from both sources (DNR excess and bonus) should have attached to it options geared to the circumstances of the individual executive, including the option of taking the committed value in whole or part in lump sum at or following date of retirement.

The foregoing suggests a requirement for more specific staff work on executive compensation and benefits. By moving this to the office of the Associate Secretary, Executive Resources, the needs of executives will received more specialized review and a higher order of priority than under the present organization.

APPENDIX A

TERMS OF REFERENCE

CIVIL SERVICE COMMISSION
ROLE AND MANDATE REVIEW

The need to operate effectively in the new and increasingly competitive global economy of the Eighties has given rise to a wide range of innovative management philosophies and techniques.

Key to these new developments are issues such as the challenge of centralization vs. decentralization, the pursuit of excellence and the recognition of merit in managing human resources.

As are most forward-thinking organizations, the Peterson government is committed to exploring ideas that will ensure the Government of Ontario reflects these current trends, and where possible, plays a leadership role in setting new ones for the Eighties and beyond.

Modern human resource trends regarding career development and enhancement are placing new demands on the Civil Service Commission in its corporate role as the manager of all government human resources.

The Commission, whose mandate was established in 1918 by the Public Service Act, provides corporate leadership and direction in human resources management in order that the government may achieve an effective and committed workforce in support of its policies, programs and services.

Given the increased importance of the human resources management function, it is felt that a review of the role and mandate of the Civil Service Commission is both timely and appropriate.

The Chairman of Management Board has decided to undertake such a review of the Civil Service Commission under the following terms of reference:

- examine the corporate role and responsibilities for human resources management and their appropriate positioning within the central management structure

- review the role of the Civil Service Commission with respect to the preservation and protection of the merit principle within government

- determine the corporate role and responsibilities of ministries and their deputy ministers in human resources management and the requirements for putting the corporate responsibilities into effect

- examine the current efficacy of key human resource management policies and practices

- determine the appropriateness of the existing legislation and set out changes as required

A P P E N D I X B

EXISTING LEGISLATIVE AND ADMINISTRATIVE FRAMEWORK

Existing Legislative and Administrative Framework

A. Legislation

The Public Service Act
The Crown Employees Collective Bargaining Act
The Management Board of Cabinet Act

B. Administration

The Civil Service Commission
Management Board Secretariat
Premier's Office/Cabinet Office
Senior Appointments Advisory Committee
Ministers and Deputy Ministers
O.P.S.E.U. - O.P.P.A.
Ministry of Government Services
Women's Directorate
Public Service Labour Relations Tribunal
Crown Employees Grievance Settlement Board
Public Service Grievance Board
Public Service Classification Rating Committee
Personnel Council

EXISTING LEGISLATIVE AND ADMINISTRATIVE FRAMEWORK

A. Legislation

Acts of the Legislature set the stage for human resources management practices and policies in the Ontario Public Service. Most significant of these acts are The Public Service Act, The Crown Employees Collective Bargaining Act, and The Management Board of Cabinet Act. Other acts of importance include The Interpretation Act, The Public Service Superannuation Act, The Public Officers Acts and acts which establish conditions and authorities specific to individual Ministries.

The Public Service Act

This Act and the regulations under it, codify the public service employment framework. The act provides statutory authority for the Civil Service Commission to assume the central role in employment in the Ontario Public Service. The Commission's powers include: evaluating and classifying all positions in the classified service; recommending salary ranges; recruiting qualified persons and establishing lists of eligibles; assigning persons to positions; and establishing salaries. The Commission may also, subject to approval by the Lieutenant Governor in Council, make regulations regarding employee benefits, hours of work, conduct of public servants, leaves of absence, and other matters appropriate to the purposes of the Act.

The Public Service Act also empowers Ministers to appoint staff to the unclassified service, and Deputy Ministers to select staff for classified appointments.

Other central provisions of the Act are: the oath of office and secrecy; the oath of allegiance to the reigning sovereign; restrictions on political activities; age of retirement provisions; and resignation, abandonment and release from employment conditions. The Commission is empowered to delegate classification and recruitment authorities.

The Public Service Act further establishes the labour relations and bargaining structure applicable to the Ontario Provincial Police.

The Crown Employees Collective Bargaining Act

Ontario Government employees were formally granted the right to collective bargaining in 1963. Initially the Public Service Act provided the framework for bargaining. However, in December 1972, The Crown Employees Collective Bargaining Act came into force. This Act prohibits strikes and lockouts, in favour of compulsory arbitration. It limits the extent of bargainable items and determines roles and authorities for the Ontario Public Service Labour Relations Tribunal and the Public Service Grievance Board. The Management Board of Cabinet is named the employer's representative for the Public Service. Currently the administration of this Act is assigned to the Minister of Labour.

The Management Board Of Cabinet Act

This act sets forth the role and powers of the committee of cabinet ministers who comprise the Management Board. Management Board is responsible for establishing the administrative framework within which Ministries operate and controlling financial and manpower resources at a corporate level. Programs having financial or administrative implications are reviewed and resourced by the Management Board. The Board assumes a central role in monitoring resource utilization and provides an accountability forum for Deputy Ministers.

B. Administration

Key responsibilities and authorities within the legislative framework are distributed among many organizations and administrators within the Ontario Public Service. The following section briefly describes the role and responsibilities of the Civil Service Commission in a system wide context.

The Civil Service Commission

This organization administers The Public Service Act, and is the centre of corporate responsibility for personnel matters including labour relations. It is under the direction of a full time Chairman with rank and status of Deputy Minister who serves as the head of the Commission and Chairman of the Committee of Commissioners.

The Chairman is the final authority for some policies. The Commission itself may issue minor policies without further reference or approval: certain policies require the approval of the Lieutenant Governor in Council: most policies, because of the their financial or administrative implications, require approval by Management Board.

Volume 2 of the Ontario Manual of Administration is used to communicate policies and procedures of the Commission. Regulations under The Public Service Act also are part of the policy environment, as are the Collective Agreement with the Ontario Public Service Employees Union, and the memo of understanding with Ontario Provincial Police Association.

Management Board Secretariat

The Secretariat provides staff support to the Management Board of Cabinet in financial and administrative matters. This group advises the Board on a variety of human resource matters including staffing for new programs, executive organization, manpower levels, use of consultants, space utilization, and the introduction of technology. The Secretariat also provides advice to the Board on program and policy proposals having financial or administrative implications, and on reporting of results by the ministries.

Premier's Office/Cabinet Office

These offices directly control the Deputy Minister appointment process; and through the involvement of the Secretary of Cabinet as co-chairman of the Senior Appointments Advisory Committee, influence senior staff appointments and policies. These offices may provide advice to Cabinet on any policies and regulations which are subject to approval of the Lieutenant Governor in Council.

Senior Appointments Advisory Committee (S.A.A.C.)

This committee is comprised of Deputy Ministers, under the joint chairmanship of the Civil Service Commission Chairman and the Secretary of Cabinet. The committee provides corporate advice on matters affecting executive compensation, benefits and on recruitment, promotion and development of those individuals in the executive compensation plan levels 4 and 5 (Executive Directors, Executive Co-ordinators, and Assistant Deputy Ministers).

Ministers and Deputy Ministers

Ministers have statutory power to appoint staff to the unclassified service and are accountable under the principle of ministerial accountability for all aspects of their Department's administration.

Deputy Ministers have both statutory and delegated powers with reference to human resource management practices. They are accountable to a number of individuals and committees (eg. Premier, Minister, Chairman of C.S.C., Management Board) for their administrative practices.

O.P.S.E.U. - O.P.P.A.

The executives of these organizations bargain on behalf of their membership with the Management Board which uses labour relations staff of the Civil Service Commission as its negotiating agent. The Collective Agreement with the O.P.S.E.U., which is the product of the bargaining process, applies to approximately 60,000 staff members in the Bargaining unit and commits managers to negotiated practices and policies.

The Ministry of Government Services

This ministry provides a variety of services central to human resources management including: serving as paymaster; custodian of employee benefits systems and records; employee advisory services; co-ordinating accomodation; and pension administration and actuarial services.

Women's Directorate - Women Crown Employees Office

This office is responsible for the development and co-ordination of the Affirmative Action program for women crown employees. It provides advice to the ministries through Affirmative Action Program managers, and has a long term goal of ensuring equal opportunity for women in the Ontario Public Service. This office currently reports through the Ministry of Attorney General.

Ontario Public Service Labour Relations Tribunal

The authority and role of this Tribunal find expression in The Crown Employees Collective Bargaining Act. The Tribunal's principal concerns are with bargaining representation, certification, jurisdiction and interpretation of fair labour practices where disputes between the employer and a barganing agent occur.

Ontario Crown Employees Grievance Settlement Board

This Board is responsible for adjudicating disputes between the employer and staff of the bargaining units who are represented by O.P.S.E.U., the Ontario Liquor Boards Employees Union (O.L.B.E.U.), and the Canadian Union of Public Employees.

Public Service Grievance Board

The Public Service Grievance Board hears grievance appeals from non-bargaining employees regarding dismissal, working conditions and discipline. Authority for this Board issues from the Public Service Act.

Public Service Classification Rating Committee

This committee hears and rules on classification grievances from non-bargaining employees in the Ontario Public Service. Authority for this committee is in the Public Service Act.

Personnel Council

Directors of Personnel from each ministry comprise the Personnel Council. This group is charged with providing advice to the Chairman of the Civil Service Commission on personnel matters and reviewing and commenting on material as requested. The Council also serves as a forum for the exchange of information and co-ordination of actions.

APPENDIX C

INDIVIDUAL CONTRIBUTORS TO THE REVIEW

APPENDIX C

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This review would not have been possible without the support of many people.

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